

REFERENCE MATERIAL

FOR

APPLICATION

CHILD CARE PROGRAM

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3-0001 GUIDELINES FOR PROCESSING APPLICATIONS**3-0001****CHILD CARE CENTERS****I. Initial Review**

When an application arrives at the Regional Office (RO), a brief initial review will occur to determine if the Application for a Child Care Center License (LIC 200A) is signed and the applicant has included the correct fee amount.

A. Application Return

In cases where there is no signature, no fee, or an incorrect fee amount, the application will be promptly returned to the applicant. This will include an explanation, in the form of a standardized letter to the applicant, of the reason the application is being returned:

- No signature
- No fee
- Incorrect fee amount

No code is entered into the Licensing Information System (LIS).

If the application is being returned for no original signature, the fee is returned with the application.

B. Cessation of Review

The Department shall cease review of any application under the conditions specified in Health and Safety Code §1596.851:

- If a prior license was revoked within the preceding two years, the Department shall cease any further review of the application until two years shall have elapsed from the date of the revocation;
- If a certificate of approval by a foster family agency was revoked by the Department within the preceding two years, the Department shall cease any further review of the application until two years have elapsed from the date of the revocation;
- If the applicant was excluded from a facility, the Department shall cease any further review of the application unless the excluded individual has been reinstated pursuant to Section 11522 of the Government Code by the Department.
- If the applicant had previously applied for a license, and the application was denied within the last year, the Department shall cease further review of the application as provided in statute.

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001

- If the applicant had previously applied for a certificate of approval with a foster family agency and the Department ordered the foster family agency to deny the application, the Department shall cease further review of the application as provided in statute.

If the Department ceases review of an application, the application shall be returned to the applicant. The applicant shall be responsible for requesting the Department to resume reviewing the application.

II. Application Intake

When a signed LIC 200A arrives at the RO together with the correct fee/s, the payment is processed and routed to the CDSS Cashiering Unit.

A. RSO Address Matching

The RO staff will comply with the address matching procedure in place to check the proposed facility address against the Registered Sex Offender address information.

B. The Application Log

Staff will note the following on the Application Log at the corresponding Box Number:

1. Regional Office Number**2. Assigned Licensing Program Analyst (LPA) Name** - To determine the assigned LPA, refer to the caseload distribution list within the RO.**3. Facility Type Code:**

- 850 Child Care Center
- 845 Child Care Center/ III
- 840 School-Age Child Care Center
- 830 Infant Center

4. Application Type:

- New
- New site, and already possesses existing child care facility license at another location (See Health & Safety Code §1596.96)
- Transfer & Sale – A license is not transferable. In the event of a sale of a licensed child care center where the sale will result in a new license being issued, the sale and transfer of the property and business are subject to the requirements of Health and Safety Code §1597.14 and Title 22 §101167.

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001

- Re-location - Moving entire facility from one location to another (See Health and Safety Code §1596.858(c) Facility not charged a full licensing fee; and applicant does not have to complete the entire application process when applying for license for the new location. Old license shall be forfeited by operation of law)
- Capacity change

5. Facility Number**6. Application Received Date**

Upon receipt of the signed application Form (LIC 200A) together with the correct fee, RO staff will *date stamp* the Forms and all application documents that have been received.

This will be noted in **Box 6** of the Application Log as the date the application has been **“RECEIVED”**. This does not necessarily mean that the application is complete. It only means that, at the least, a signed LIC 200A has been received together with the correct fee amount.

LIS Status

Upon receipt of the signed Application Form with correct fee amount, the Status of the Facility in the Licensing Information System (LIS) will be indicated as LIS Code 2 – Application Pending.

Commence Live Scan Service

Upon receipt of the application with the fee, communication must be generated and mailed to the applicant with the facility number and instructions to enable the applicant to commence the criminal background check process by submitting a request for Live Scan service.

Significance of Application Received Date

The RO staff will count the number of days from the “Application Received Date” and will perform the following tasks as noted:

- 20 days from Receipt: Best Practice – Within 20 days from receipt of a Child Care Center (CCC) application, a comprehensive review of the application will occur by the assigned LPA.
- 90 days from Receipt: If the applicant has not submitted all materials within 90 day of the Department’s receipt of the application, the Department shall notify the applicant in writing that the application is incomplete. (Title 22 §101178)

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001

If the application has been submitted by an organization which possesses a current valid license to operate a child care facility at another site, see the provisions of Health and Safety Code §1596.96.

7. Fire Clearance Request

Once an application is received at the Regional Office (RO) with the correct fee, the RO staff will promptly send the fire clearance Request Form to the appropriate fire inspection agency.

The RO staff will note in **Box 7**, the date the Fire Clearance Request Form is sent out.

8. Review of A & B Documents and “Pre-30 Day” Notice of Incomplete Application (NOIA), LIC 184C

Upon receipt of the application (*signed and with the correct fee*), all the application materials that have been received at the RO will be provided to the assigned LPA for review.

The LPA will fully review the Licensing Forms (“A” Documents) and Supportive Documents (“B” Documents) submitted by the applicant.

Best Practice: The review of forms and documents should be completed by LPA within 20 days of **receipt** of a Child Care Center application.

“Pre-30 Day” Notice of Incomplete Application (NOIA), LIC 184C

On the same date LPA completes the comprehensive review, if it has been determined that the Applicant has failed to provide any one of the forms or documents, the LPA will send the applicant a LIC 184C, Notice of Incomplete Application. The LIC 184C will clearly indicate what form, document(s), or application information has/have not been provided, or not provided in the form requested.

The date LPA has completed review of the application and, if needed, sent the applicant the LIC 184C Notice of Incomplete Application will be noted in **Box 8**.

Create a record

The LPA will create a record of all communication between the applicant and the RO. Any verbal, phone, or follow-up communication between the RO and the applicant will be documented in FAS on a Contact sheet (LIC 185), or on a Detail Supportive Information form (LIC 812).

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001**9. “30 Day” Notice of Incomplete Application (NOIA), LIC 184D sent at Day 90**

In those instances where a child care center applicant has not submitted all specified application materials within 90 days of the Department’s *receipt* of the application (as noted on the Application Log Box 6), the Department shall send the applicant a LIC 184D indicating that the applicant has 30 days remaining to submit the missing application documents.

This notice shall describe the materials that the applicant must submit. This may be in addition to any previous NOIA sent to the applicant.

The date that the LIC 184D is sent (at day 90) will be noted on the Application Log in **Box 9**.

The RO should have a system to “alert” or “tickle” 30 days from the date noted in Box 9, because if a child care center applicant does not complete the application within those 30 days after *this* NOIA is sent, the application **shall be deemed withdrawn (Box 14)**, provided the Department has not denied or taken action to deny the application prior to that point (Title 22 §101178).

10. Child Care Centers: all A Forms and B Documents

For CCC applicants, indicate the date the CCC applicant has provided all A forms and B documents in **Box 10**.

11. Required Clearance Date(s)

Once the required clearances (fire, criminal record, and water) are returned to the RO, the RO staff will insert the date the clearance is received in the box under the appropriate clearance heading.

All three boxes must contain a date in each before all appropriate licensing materials can be considered received.

12. Receipt of “all appropriate licensing materials”

The date the RO receives “all appropriate licensing materials” will be indicated in **Box 12**.

Receipt of “all appropriate licensing materials” means all items required by statute and regulations, except for the completed facility pre-licensing visit and proof of compliance. (Health and Safety Code §1596.95; Title 22 §101169)

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001

This will include:

- All Section A Licensing Forms;
- All Section B Supportive Documents;

AND:

- A criminal record clearance, or an exemption granted by the Department, for the applicant and other individuals subject to a criminal record review pursuant to Health and Safety Code §1596.871;
- An investigation of any reports received from the Child Abuse Central Index (CACI) for the applicant and other individuals as required by law. NOTE: The Department shall not deny a license application based on a report from CACI unless the Department substantiates the allegations of child abuse;
- An approved fire clearance for a child care center;
- A water clearance, if private water supply source: Evidence that has established the water is safe for human consumption;
- Any other information as may be required by the Department for the proper administration and enforcement of the California Child Day Care Act.

13. Pre-Licensing Visit

The RO should track 30 days from the date noted in Box 12 because the Department must conduct an initial site visit within 30 days after the receipt of “all appropriate licensing application materials” (Health and Safety Code §1597.13).

The date the RO conducts the pre-licensing visit will be indicated in **Box 13**.

14. Facility in Compliance with Licensing Standards

During the facility visit, if the applicant is not in compliance with licensing standards, the LPA will notify the applicant on the “*Facility Evaluation Form*” (LIC 809), and provide the applicant with a copy.

The time frame within which the applicant shall become compliant with licensing standards will be determined on a case-by-case basis by the LPA who will work with the applicant. The LPA should document the reasons for the selected compliance date.

The date the child care center is in compliance with all licensing requirements will be indicated in **Box 14**.

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued)**3-0001****15. Application Disposition Date*****Box 15 – “Withdrawn” Option***

When an applicant does not complete the application within 30 days after the NOIA LIC 184D sent (at day 90 - Box 9), the application **shall be deemed withdrawn**, provided the Department has not denied or taken action to deny the application. (Regulation §101178(a)(1)).

In addition, an applicant may withdraw an application for a license. The withdrawal of the application must be in writing.

The withdrawal of an application for a license after it has been filed with the Department shall not, unless the Department *consents* in writing to the withdrawal, deprive the Department of its authority to institute or continue a proceeding against the applicant for the denial of the license upon any ground provided by law or to enter an order denying the license. (Health and Safety Code §1596.854).

The fees for processing a withdrawn application shall be forfeited (Title 22 §101180).

Box 15 – “Denied” Option

Except as specified in regulation §101181, which provides for issuance of a provisional license based upon substantial compliance, the Department **shall deny an application for a license**, if the applicant is not in compliance with applicable laws and regulations.

30 - Day Time Frame to “Deny” or “Grant” a Child Care Center License Application

Pursuant to Health and Safety Code Section 1597.13, the Department and the local agencies with which it contracts for the licensing of child care centers shall *grant* or *deny* an application or a license within 30 days after receipt of all of the following:

- a) All required application materials pursuant to relevant Health and Safety Code sections and regulations. This will include:
 - All required licensing A Forms and all B supportive documents;
 - A criminal record clearance [or exemption granted] for the applicant and any other individuals as specified in Health and Safety Code §1596.871, and Title 22;
 - CACI investigation completed for applicant and all persons required by law;

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued) 3-0001

- An approved fire clearance from the Fire Marshal;
- A water supply clearance for all child care centers where water for human consumption is from a private source;
- Any other information as may be required by the Department for the proper administration and enforcement of the California Child Day Care Act.

b) The Department has conducted the facility visit; AND

c) The facility has been found to be *in compliance* with licensing standards.

Therefore, the date the application is denied or a license is granted, must be **within 30 days of the date in Box 14**, when the facility was found to be in compliance with licensing standards at or after the pre-licensing visits (Health and Safety Code §1597.13). If denied, the date will go under the “Denied” option in **Box 15**.

If an application is denied, the Department shall inform the applicant of the denial in writing. The notice shall include the reasons for the denial. If an application is denied, the application processing fee shall be forfeited. (See Regulation §101205(b) and (c))

Box 15 – “Licensed” Option

The Department shall issue a license to an applicant in accordance with the provisions of Health and Safety Code §1597.13 after a completed application has been compiled and upon determination that all licensing requirements have been met (Title 22 §101182).

As a condition of licensure, the applicant shall comply with the requirements for training in preventive health practices, including pediatric cardiopulmonary resuscitation and pediatric first aid, as specified in Health and Safety Code §1596.866.

A separate license shall be issued for each component of a combination center.

Issuance of a license shall constitute written notice that the application is complete and has been granted.

If a license is granted, the date will go under the “Licensed” option in **Box 15**.

3-0001 GUIDELINES FOR PROCESSING APPLICATIONS (Continued)**3-0001**

CHILD CARE CENTER APPLICATION LOG												
Regional Office Number (1)							Assigned LPA Name (2)					
Facility Type (3)				APPLICATION TYPE (4)					Facility Number (5)	Application Received Date (6)	Date of Fire Clearance Request (7)	
850	845	840	830	New	New Site - Existing LIC.	Transfer & Sale	Re-Location	Capacity Change				
Date of Application Review Completion and the Notice of Incomplete Application (LIC. 184C) sent if applicable (8)*				Date 30 Day Notice of Incomplete Application (LIC. 184D) sent (if applicable) (9)		Date all Section A & B app. docs. Complete (10)		Required Clearance Date(s) (11)			Date of receipt for all appropriate Licensing materials (12)	Pre-Lic. Visit Date (13)
								Criminal Record	Fire	Water		
Facility in Compliance Date (14)	Application Disposition Date (15)											
	Withdrawn	Denied	Licensed									
* Best Practice: Within 20 days from receipt of a Child Care Center (CCC) application, a comprehensive review of the application will occur by the assigned LPA.												

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS**3-0002****FAMILY CHILD CARE HOMES****I. Initial Review**

When an application arrives at the Regional Office (RO), a brief initial review will occur to determine if the Application Form (LIC 279) is signed and the applicant has included the correct fee amount.

A. Application Return

In cases where there is no signature, no fee, or the incorrect fee amount, the application will be promptly returned to the applicant. This will include an explanation, in the form of a standardized letter, to the applicant for the reason the application is being returned:

- No signature
- No fee
- Incorrect fee amount

No code is entered into the Licensing Information System (LIS).

If the application is being returned for no original signature, the fee is returned with the application.

B. Cessation of Review

The Department shall cease review of any application under the conditions specified in Health and Safety Code §1596.851:

- If a prior license was revoked within the preceding two years, the Department shall cease any further review of the application until two years shall have elapsed from the date of the revocation;
- If a certificate of approval by a foster family agency was revoked by the Department within the preceding two years, the Department shall cease any further review of the application until two years have elapsed from the date of the revocation;
- If the applicant was excluded from a facility, the Department shall cease any further review of the application unless the excluded individual has been reinstated pursuant to §11522 of the Government Code by the Department.
- If the applicant had previously applied for a license, and the application was denied within the last year, the Department shall cease further review of the application as provided in statute.

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002**

- If the applicant had previously applied for a certificate of approval with a foster family agency and the Department ordered the foster family agency to deny the application, the Department shall cease further review of the application as provided in statute.

If the Department ceases review of an application, the application shall be returned to the applicant. The applicant shall be responsible for requesting the Department to resume reviewing the application.

II. Application Intake

When a signed LIC 279 arrives at the RO together with the correct fee/s, the payment is processed and routed to the CDSS Cashiering Unit.

A. RSO Address Matching

The RO staff will comply with the address matching procedure in place to check the proposed facility address against the Registered Sex Offender address information.

B. The Application Log

Staff will note the following on the Application Log at the corresponding Box Number:

1. Regional Office Number

- 2. Assigned Licensing Program Analyst (LPA) Name** - To determine the assigned LPA, refer to the caseload distribution list within the RO.

3. Facility Type Code:

- 810 Small FCCH (Capacity 1 – 8)
- 810 Large FCCH (9 – 14)

4. Application Type:

- New
- Re-location - Moving entire facility from one location to another (See Health and Safety Code §1596.858(c) Facility not charged a full licensing fee; and applicant does not have to complete the entire application process when applying for license for the new location. Old license shall be forfeited by operation of law)
- Capacity change

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002****5. Facility Number****6. Application Received Date**

Upon receipt of the signed LIC 279 together with the correct fee, RO staff will *date stamp* the Forms and all application documents that have been received.

This will be noted in **Box 6** of the Application Log as the date the application has been “**RECEIVED**”. This does not necessarily mean that the application is complete. It only means that at the least a signed LIC 279 has been received together with the correct fee amount.

LIS Status

Upon receipt of the signed Application Form with correct fee amount, the Status of the Facility in the Licensing Information System (LIS) will be indicated as LIS Code 2 – Application Pending.

Commence Live Scan Service

Upon receipt of the application with the fee, communication must be generated and mailed to the applicant with the facility number and instructions to enable the applicant to commence the criminal background check process by submitting a request for Live Scan service.

Significance of Application Received Date

The RO staff will count the number of days from the “Application Received Date” and will perform the following tasks as noted:

- 10 days from Receipt: Best Practice – Within 10 days from receipt of a Family Child Care Home (FCCH) application, a comprehensive review of the application will occur by the assigned LPA.

7. Fire Clearance Request

Once an application is received at the RO with the correct fee, the RO staff will promptly send the fire clearance Request Form to the appropriate fire inspection agency. A fire clearance shall not be required for a small family child care home.

The RO staff will note in **Box 7**, the date the Fire Clearance Request Form is sent out.

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002****8. Review of A & B Documents and Notice of Incomplete Application (NOIA), LIC 184B**

Upon receipt of the application (*signed and with the correct fee*), all the application materials that have been received at the RO will be provided to the assigned LPA for review.

The LPA will fully review the Licensing Forms (“A” Documents) and Supportive Documents (“B” Documents) submitted by the applicant.

Best Practice: The review of forms and documents should be completed by the LPA within 10 days of **receipt** of a FCCH application.

Notice of Incomplete Application (NOIA), LIC 184B

On the same date the LPA completes the comprehensive review, if it has been determined that the Applicant has failed to provide any one of the forms or documents, the LPA will send the Applicant a LIC 184B, Notice of Incomplete Application.

The LIC 184B will clearly indicate what form, document(s), or application information has/have not been provided, or not provided in the form requested by the licensing agency.

The date the LPA has completed her review of the application and, if needed, sent the applicant the LIC 184B Notice of Incomplete Application will be noted in **Box 8**.

Create a record

The LPA will create a record of all communication between the Applicant and the RO. Any verbal, phone, or follow-up communication between the RO and the Applicant will be documented in FAS on a Contact sheet (LIC 185), or on a Detail Supportive (LIC 812).

9. Family Child Care Home (FCCH) Applicant: all A Forms and B Documents

For FCCH applicants, indicate the date the FCCH applicant has provided all A forms and B documents in **Box 9**.

10. Required Clearance Date(s)

Once the required clearances (fire, criminal record, and water– if applicable) are returned to the RO, the RO staff will insert the date the clearance is received in the box under the appropriate clearance heading.

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002**

If the home is on a public water system, simply insert “N/A” in the box under “**Water**”.

If the home is a small family home, then insert “N/A” in the box under “**Fire**”.

All three boxes must contain either a **date** or “N/A” in each **before** all appropriate licensing materials can be considered received.

11. Receipt of “All Appropriate Licensing Materials”

The date the RO receives “all appropriate licensing materials” will be indicated in **Box 11**.

Receipt of “all appropriate licensing materials” will include:

- All Section A Licensing Forms;
- All Section B Supportive Documents;

AND:

- A criminal record clearance, or an exemption granted by the Department, for the applicant and other individuals subject to a criminal record review pursuant to Health and Safety Code §1596.871;
- An investigation of any reports received from the Child Abuse Central Index (CACI) for the applicant and other individuals as required by law. NOTE: The Department shall not deny a license application based on a report from CACI unless the Department substantiates the allegations of child abuse;
- An approved fire clearance for large family child care homes (*a fire clearance is not required for small family child care homes*);
- A water clearance, if private water supply source: Evidence that has established the water is safe for human consumption.
- Any other information as may be required by the Department for the proper administration and enforcement of the California Child Day Care Act.

12. Pre-Licensing Visit

The RO should track 30 days from the date noted in on Box 11 because the Department must conduct an initial site visit within 30 days after the receipt of “all appropriate licensing application materials”. (Health and Safety Code §1597.59).

The date the RO conducts the pre-licensing visit will be indicated in **Box 12**.

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002****13. Facility in Compliance with Licensing Standards**

During the facility visit, if the applicant is not in compliance with licensing standards, the LPA will notify the applicant on the “*Facility Evaluation Form*” (LIC 809), of which, the Applicant will receive a copy.

The time frame within which the applicant shall become compliant with licensing standards will be determined on a case-by-case basis by the LPA who will work with the applicant. The LPA should document the reasons for the selected compliance date.

Best Practice: The LPA should follow-up with the applicant on or near the agreed upon compliance due date.

The date the FCCH is in compliance with all licensing requirements will be indicated in **Box 13**.

14. Application Disposition Date***Box 14 – “Withdrawn” Option***

An applicant may withdraw an application for a license. The withdrawal of the application must be in writing.

The withdrawal of an application for a license after it has been filed with the Department shall not, unless the Department *consents* in writing to the withdrawal, deprive the Department of its authority to institute or continue a proceeding against the applicant for the denial of the license or a special permit upon any ground provided by law or to enter an order denying the license or special permit upon any such ground. (Health and Safety Code §1596.854).

Box 14 – “Denied” Option***30 - Day Time Frame to “Deny” or “Grant” a Family Child Care Home License Application***

Pursuant to Health and Safety Code §1597.59, the Department and the local agencies with which it contracts for the licensing of family day care homes for children, shall *grant* or *deny* an application or a license within 30 days after all of the following:

- a) All required application materials pursuant to pertinent Health and Safety Code sections and regulations. This will include:
 - All required licensing A Forms and all B supportive documents;

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002**

- A criminal record clearance [or exemption granted] for the applicant and any other individuals as specified in Health and Safety Code §1596.871, and Title 22;
- CACI investigation completed for applicant and all persons required by law;
- An approved fire clearance for large family child care homes;
- Any other information as may be required by the Department for the proper administration and enforcement of the California Child Day Care Act.

b) The Department has conducted the facility visit; AND

c) The facility has been found to be *in compliance* with licensing standards.

Therefore, the date the application is denied or that a license is granted, must be within **30 days of the date in Box 13**, when the facility was found to be in compliance with licensing standards at or after the pre-licensing visits. If denied, the date will go under the “Denied” option in **Box 14**.

If an application is denied, the Department shall inform the applicant of the denial in writing.

Box 14 – “Licensed” Option

As a condition of licensure, the applicant shall comply with the requirements for training in preventive health practices, including pediatric cardiopulmonary resuscitation and pediatric first aid, as specified in Health and Safety Code §1596.866.

If a license is granted, the date will go under the “Licensed” option in **Box 14**.

3-0002 GUIDELINES FOR PROCESSING APPLICATIONS (Continue)**3-0002**

FAMILY CHILD CARE HOME APPLICATION LOG									
Regional Office Number (1)						Assigned LPA Name (2)			
Facility Type (3)		APPLICATION TYPE (4)			Facility Number (5)	Application Received Date (6)	Date of Fire Clearance Request (7)		
810 - SMALL	810 - LARGE	New	Re-Location	Capacity Change					
Date of Application Review Completion and Notice of Incomplete Application (LIC. 184B) sent if applicable (8)*		Date all Section A & B application docs complete (9)		Required Clearance Date(s) (10)			Date of receipt for all appropriate Licensing materials (11)	Pre-Lic. Visit Date (12)	Facility in Compliance Date (13)
				Criminal Record	Fire	Water			
Application Disposition Date (14)									
Withdrawn	Denied	Licensed							
* Best Practice: Within 10 days from receipt of a Family Child Care Home (FCCH) application, a comprehensive review of the application will occur by the assigned LPA.									

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS**3-0003****GENERAL STATEMENT**

The Licensing application process for Child Care Centers is facilitated by a two-component orientation and the application process as follows:

COMPONENT I – APPLICATION ORIENTATION

This orientation is for persons interested in obtaining a Child Care Center license and is designed to inform potential applicants of the requirements necessary to apply for a Child Care Center license. The Application Orientation will provide an overview of the licensing program, including the laws which govern the Child Care Licensing Program's inspection and enforcement authority; a description of license types, client populations, and programs; a review of staff qualifications and responsibilities; a review of physical plant requirements; and a review of the application process and how to complete the forms. Applicants for licensure are also required to attend the Child Care Center Operations and Record Keeping Orientation prior to submitting their application.

COMPONENT II – OPERATIONS AND RECORD KEEPING

This orientation is required for new applicants, directors and site supervisors. Public agencies, corporations, limited liability companies, and partnerships must have their board president, CEO, or managing partner, as well as their site supervisor or director attend. The Operations and Record Keeping orientation will provide information on what is required to operate a Child Care Center from day-to-day; and what paperwork or forms are required to be kept on file relevant to center employees and children in care. Such paperwork or forms include the criminal record clearance paperwork to be filed with Licensing and kept on hand in your personnel files, other personnel forms, medical information for the children in care, and admission agreements.

LICENSING PROGRAM ANALYST PROTOCOL DURING THE ORIENTATION PROCESS

The applicant's first interaction and impression of the licensing agency will be with the Licensing Program Analyst who provides the Component I Orientation session. It is important for the Licensing Program Analyst to represent the Department in a professional and courteous manner. The Licensing Program Analyst should set a positive tone during the meeting and encourage participants to ask questions if they do not understand or need something repeated. A positive atmosphere is conducive to learning and during the session, the Licensing Program Analyst provides the participants with valuable information and instructions.

Throughout the orientation and application process, the role of the Licensing Program Analyst is to assist the applicant and ensure that the applicant understands the entire process.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**COMPONENT I ORIENTATION OUTLINE AND LIST OF HANDOUTS**

THE FOLLOWING OUTLINE AND LIST OF HANDOUTS ARE TO BE USED BY ALL REGIONAL CHILD CARE LICENSING OFFICES. THERE SHOULD BE NO DEVIATION FROM THIS STANDARDIZED FORMAT OR HANDOUTS.

When possible, guest speakers from the local Resource and Referral Agencies, placement, advocacy groups, or other agencies will be scheduled to discuss their role and relationship with the licensing agency. The Resource and Referral Agencies will help refer parents to child care facilities, and can provide training and technical assistance regarding what it takes to stay in compliance with child care licensing laws and regulations.

Handouts

Never Shake a Baby Brochure – [PUB 271](#) – This brochure is to be distributed at all child care orientations in compliance with Health and Safety Code Section 1596.847. (The brochure must also be distributed at the time of licensure, pursuant to Health and Safety Code Section 24522(b)).

I. OPENING THE SESSION

- A.** Have each attendee sign in on the Orientation Meeting Tally (LIC 186) prior to starting the session. This attendance sheet is for use by the licensing agency only. Copies of this list are not to be released to outside agencies.
- B.** Introduce yourself, identify the Regional Office, address and telephone number.
- C.** Take care of ‘housekeeping’ items – (i.e. timeframe, break time, location of restrooms, etc.)
- D.** Advise the group that the orientation meeting is designed to acquaint them with the laws and regulations governing child care centers that are licensed by the Community Care Licensing Division’s Child Care Program and to provide them with information that will result in a complete application being submitted for licensure.
- E.** Encourage the group to ask general questions pertaining to licensing as they come up, but ask them to refrain from asking case specific questions as those can be addressed with their specific Licensing Program Analyst who will be assigned to them once they submit their applications.
- F.** Advise the group of the “Operations and Record Keeping” component in the orientation process, and the individuals who are to complete that component (i.e. applicants, directors and site supervisors, as well as board presidents, CEO’s or managing partners.)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- G.** Advise that a Certificate of Completion (LIC 281C) will be handed out at the end of the “Application” session, which is to be brought back to the “Operations and Record Keeping” session for signature and verification of completing the orientation for the application process.

II. GENERAL INFORMATION**A. The Child Care Licensing Program**

1. The Child Care Licensing Program is responsible for licensing and monitoring Child Care Centers to ensure children in care are:
 - a. in a safe environment;
 - b. with qualified people who will do no harm;
 - c. engaged in activities to encourage their development and growth;
 - d. with highly trained, dedicated, and professional staff.
2. The Child Care Licensing Program operates through 13 regional offices located throughout the State. Each regional office has a Regional Manager, Licensing Program Managers and Licensing Program Analysts.
3. Licensing Program Analysts are assigned to particular geographical areas. Applicants for licensure are assigned a Licensing Program Analyst to work with them throughout the licensing process. The Licensing Program Analyst will also perform inspections of the facility, and provide technical support in an effort to ensure that the facility is in compliance with all licensing laws and regulations.
4. The mission of the Community Care Licensing Division’s Child Care Licensing Program is to protect the health and safety of children in child care facilities through the administration of a regulatory enforcement program.
5. The Health and Safety Code, Child Day Care Act, and the California Code of Regulations, Title 22, Division 12, are the governing authorities used to regulate and enforce the Child Care Licensing Program.
6. The Child Care Licensing Program fulfills its responsibility using a balanced approach of:
 - a. Prevention
 - b. Compliance
 - c. Enforcement

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

7. The expectation is that services are delivered in a courteous, prompt, and professional manner. Licensing Program Analysts strive to develop and sustain a well-balanced and business-like relationship with all licensees. The ability to provide advice on how to meet a regulatory requirement is an essential part of the Licensing Program Analyst's role.

B. When is a License Required?

1. Health and Safety Code Section 1596.80 states that no person, firm, partnership, association or corporation shall operate, establish, manage, conduct, or maintain a child care facility in this state without a current, valid license.
2. Health and Safety Code Section 1596.750 states that a "child care facility" means a facility that provides non-medical care to children under 18 years of age in need of personal services, supervision, or assistance essential for sustaining the activities of daily living or for the protection of the individual on less than a 24-hour basis. A child care facility includes child care centers, employer-sponsored child care centers and family child care homes.
3. Health and Safety Code Sections 1596.890 and 1596.891 state that unlicensed operation of a child care facility is a misdemeanor, subject to a \$200 a day penalty.

C. Who is the Applicant?

1. There are several different types of applicants for child care centers.
 - a. Individual
 - b. Corporation
 - c. Partnership
 - d. Limited Liability Company
 - e. Public Agencies (such as a school district)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**D. License Types**

1. There are a variety of license types for child care centers.
 - a. Infant License – Issued for programs that serve children from birth to 24 months. It is permissible for a child to stay in an infant center up to a maximum of three years, based on the child’s developmental needs.
 - i. A toddler component may be added to the infant license. The toddler component enables the licensee to have a special program for children between the ages of 18 to 3 years of age.
 1. A child younger than 18 months of age shall not be moved into the toddler program. A child who is older than 18 months of age shall not be required to be in the toddler program
 - b. Preschool License – Issued for programs that serve children who are two years old up to entry into first grade.
 - i. A toddler component may be added to the preschool license also. The toddler component enables the preschool to have a special program for children between the ages of 18 to 3 years of age.
 - c. School-age License – Issued for programs that serve children enrolled in kindergarten or above.
 - d. Mildly Ill License – Although not common, there are also centers for mildly ill children. A mildly ill child is any child who is prohibited from participation in a child care center due to discomfort, injury or symptom of illness.
2. Each program must be physically separate and distinct. There must be separate classrooms and separate play space for each program or age group. Child care center regulations apply to all license types and have additional requirements specific to the different age groups or programs.

E. Limits and Terms of a License

1. A license is issued for a specific licensee, address, capacity, age group, and program type.
2. A license cannot be transferred.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**F. Sale of a Child Care Center**

1. The sale of a child care center requires a new license, and a 30-day written notice to parents and to Licensing.
2. Following notification to Licensing, and prior to entering into an admission agreement, the licensee, must inform the child's parent or authorized representative of the intent to sell the business.
3. The property and business cannot be transferred until the buyer qualifies for a license or a provisional license.
4. No transfer of the center is permitted until 30 days have lapsed from the date when the notice was provided to Licensing.
5. In an effort to ensure timely transfer of the property, and business, the law requires Licensing to give priority to applicants involved in the sale of a center.
6. The prospective buyer must submit the application within 5 days of acceptance of the offer by the seller.

G. Provider Responsibilities

1. Providers are required to be knowledgeable of licensing requirements.
2. The Health and Safety Code and Title 22 regulations are available on the Community Care Licensing website at:
<http://www.cdss.ca.gov/inforesources/Legislation-and-Regulations>.
3. Providers are to be compliant with other jurisdictions, such as the local planning authority, municipal zoning, fire codes, taxes, and employment laws.

H. Things for Applicants to Consider

1. They should do their homework.
2. Perform a needs assessment – what is the need for child care in the area?
 - a. The local resource and referral agency can assist the provider with a needs assessment. Their address is <http://www.rrnetwork.org>.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. Develop a business plan –consider the costs to set up and operate their business. Will you buy or lease a facility? What furnishings and supplies are needed and how much will they cost? Remember to factor in the outside play area and whether the location will require a new play structure and cushioning material.
4. Find qualified staff – Determine how to find and maintain qualified staff and how to ensure the center is appropriately staffed at all times.

III. STAFF REQUIREMENTS**A. Criminal Record Clearance Requirements**

1. A criminal record clearance or exemption is required for all applicants, licensees, employees and volunteers who have contact with children, and other individuals specified in Health and Safety Code Section 1596.871(b). Licensees are not prevented from requiring a criminal record clearance of additional individuals not specified in Health and Safety Code section 1596.871(b).
2. An individual's criminal record is obtained by submitting fingerprints to the Department of Justice and includes relevant information from state law enforcement, Federal Bureau of Investigation, and Child Abuse Central Index. Fingerprints must be submitted through the Live Scan process, which is electronic fingerprint imaging. To schedule an appointment and determine the location for the nearest Live Scan office, call 1-800-315-4507. The Live Scan application can be downloaded from the Community Care Licensing website at <http://www.cdss.ca.gov/cdssweb/entres/forms/English/LIC9163.pdf>. Individuals must also submit a signed a declaration regarding any prior criminal convictions.
3. If no criminal information has been recorded, the Department shall issue a criminal record clearance. If an individual is awaiting trial for a crime other than a minor traffic violation, the Department may cease processing the criminal information until the conclusion of the trial.

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4. Prior to licensure, if the applicant or any individual for which a criminal record exemption is required has been convicted of a crime other than a minor traffic violation, the application shall be denied unless an exemption is granted by the Department. Subsequent to initial licensure, specified individuals shall obtain a clearance or exemption prior to initial presence in the facility. If an individual with an exemption is subsequently convicted of a crime other than a minor traffic violation the licensee shall either (1) terminate the person's employment and exclude them from the facility or (2) seek exemption from the director. The department shall determine if the individual shall be allowed to remain in the facility while a decision is rendered. If an individual has an arrest-only for certain serious crimes, such as robbery, sexual battery, or child abuse, for which an exemption cannot be granted, a clearance will not be granted until the department completes an investigation of the incident to determine if there is evidence to establish conduct that poses a risk to the health and safety of any person who is or may become a client.
5. Once an application is received and determined to be complete, new applicants will be assigned a pending facility number. The pending facility number must be included on the Live Scan application. This ensures that the applicant and all staff are associated to the correct facility in the Licensing Information System database.
6. Active criminal record clearances may be transferred from one licensed facility to another. To transfer a clearance, submit a Criminal Record Clearance Transfer Request, Form LIC 9182, to the local Regional Office with a photo I.D. and request the clearance be associated to the new facility number.

B. Criminal Record Exemptions

1. Criminal Record Exemptions are processed by the Caregiver Background Check Bureau.
2. An exemption is needed if a person subject to background check requirements has been convicted of a crimes, except minor traffic violations. A conviction for a misdemeanors or a felony, even if it occurred a long time ago, requires an exemption.
3. An exemption cannot be granted for individuals convicted of certain serious crimes such as robbery, sexual battery, child abuse, elder or dependent abuse, rape, arson, or kidnapping.

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4. Criminal record exemptions are public information. If an employee of a child care center has a criminal record exemption, the Child Care Licensing Program and the licensee are required to divulge the exemption upon request, including inquiries from the media. But the licensee and Licensing should only disclose the name of the individual who has received the exemption and not the specific crime or crimes for which the exemption was granted.
5. To learn more about the criminal record clearance or exemption process, visit the webpage at <http://www.cdss.ca.gov/inforesources/Community-Care/Caregiver-Background-Check/Background-Check-Process>, or call the Caregiver Background Check Bureau.

C. Administrator Qualifications and Responsibilities

1. The administrator of a child care center may be the licensee (if an individual), or any member of a governing board of a corporation, provided the individual is at least 18 years of age and has the following qualifications:
 - a. Knowledge of the requirements for providing the type of care and supervision children need, and the ability to communicate with such children.
 - b. Knowledge and ability to comply with applicable laws and regulations.
 - c. Ability to maintain or supervise the maintenance of financial and other records.
 - d. Ability to establish the center's policy, program and budget.
 - e. Ability to recruit, employ, train, direct, and evaluate qualified staff and to terminate employment of staff.
2. Large facilities may have a designated administrator separate from the director, while small facilities may choose to have the director be responsible for the administrator duties.
3. The licensee must ensure there are provisions for continuing operation and carrying out of the administrator's responsibilities during any absence of the administrator.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**D. Director Qualifications and Responsibilities**

1. The director is in charge of the daily operation of the center including all of the record keeping, hiring, training and supervision of the staff, and enrollment of new children.
2. There must be a full-time director or substitute director on site at all times.
3. The director is responsible for acknowledging receipt of deficiency notices and the correction of deficiencies that constitute an immediate threat to children's health and safety.
4. While the director is the primary person in communication with Licensing, it is the licensee that is held accountable for ensuring the facility maintains compliance with licensing laws and regulations.

E. Qualifications for a Director of a Preschool Program

1. To qualify as a preschool director, the individual must meet one of the following:
 - a. Be a high school graduate or GED, plus have 12 semester units in child growth and development, or human growth and development; child, family, and community and program or curriculum development; and 3 units of administration or staff relations. Four years of teaching experience in a licensed child care center or comparable group child care program.
 - b. An Associate of Arts Degree in child development which includes 3 semester units of administration or staff relations and two years of teaching experience.
 - c. A Bachelor of Arts Degree in child development which includes 3 semester units of administration and one year of teaching experience. OR
 - d. A child development site supervisor permit or program director permit issued by the California Commission on Teacher Credentialing.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**F. Qualifications for Directors of Infant and School-Age Programs**

1. Infant program director qualifications are the same as the preschool director with the following exceptions:
 - a. At least 3 units must be related to the care of infants.
 - b. Four years teaching experience must be with children under the age of 5.
2. A school-age director must meet the preschool age director qualifications, and can substitute other course work in place of the child growth and development and child family and community that is equivalent or more pertinent to caring for elementary school-age children.

G. Health and Safety Training Requirements

1. In addition to the academic and professional experience requirements, at least one director or teacher at each center must complete 16 hours of preventive health and safety training, including:
 - a. pediatric cardiopulmonary resuscitation (CPR)
 - b. pediatric first aid, and
 - c. preventive health practices – with one hour of training in childhood nutrition
2. The pediatric CPR and first aid certifications may be obtained from:
 - a. the American Red Cross
 - b. the American Heart Association
 - c. any vendor approved by the Emergency Medical Services Authority (EMSA), or by an accredited or approved college or university. The website for EMSA is http://emsa.ca.gov/Childcare_Provider1
3. The preventive health practices certification may be obtained from an EMSA approved vendor or accredited or approved college or university.
4. The preventive health practices training never expires, however, the pediatric CPR and pediatric first aid must be renewed prior to expiration.
5. Online courses are not acceptable for this training.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**H. Care and Supervision**

1. All children shall be under visual supervision and observation at all times.
 - a. This includes while children are napping or in the restroom.

IV. PHYSICAL PLANT REQUIREMENTS**A. Indoor Activity Space**

1. Indoor activity space for a child care center must include:
 - a. 35 square feet per child
 - b. One toilet and sink for every 15 children
 - c. Separate staff restroom
 - d. Isolation area and restroom for children who get sick
 - e. Variety of age-appropriate toys and furniture in good condition and sufficient quantity
 - f. Food preparation area, sink, hot and cold running water, refrigeration, and storage
 - g. Storage space for each child's clothing, personal belongings, and bedding.
 - h. Storage space for play materials and napping equipment
 - i. Drinking water must be available
2. Indoor activity space for combination centers must be physically separated by license types.
3. Indoor activity space for infants must be physically separate from the crib area.
4. Cribs are required for all infants who are unable to climb out of a crib.
5. Floor mats or cots must be provided for infants who are able to climb out of a crib.

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6. The changing table must be within an arm's reach of a sink.
7. Centers that offer toilet training are required to have one sink per 15 infants, and one potty chair per 5 infants.

B. Outdoor Activity Space

1. There must be at least 75 square feet of outdoor activity space per child.
2. The outdoor activity space must be safely accessible for children.
3. It must include a shaded rest area.
4. All bodies of water must be made inaccessible by a five-foot fence or pool cover strong enough to completely support the weight of an adult.
5. The outdoor activity space must contain cushioning material and age-appropriate equipment.
 - a. Cushioning material below play structures must be sufficient enough to absorb a fall from the highest point.
6. Outside play space must be enclosed by a fence that is at least four feet high and provide for age group separation.
7. There must be drinking water readily available to the children.
8. You are encouraged to follow the Consumer Product Safety Commission's "Public Playground Safety Handbook" when setting up your outdoor activity space.
 - a. The handbook can be accessed on the CPSC's website at: <http://www.cpsc.gov/s3fs-public/325.pdf>.

C. School-Age Physical Plant Requirements

1. School-age programs have a few different physical plant requirements.
 - a. Restrooms must assure individual privacy and may not be used by boys and girls at the same time.
 - b. Restrooms may not be shared with preschoolers or staff.
 - c. For elementary school site programs, use of the elementary school restrooms is permissible.

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- d. If a child becomes ill, the staff restroom may be used.
- e. A room used as a classroom by a school-age child care program, operated on a functioning school site, does not have to meet the square footage and toilet requirements.

V. COMPLETING THE APPLICATION – SECTION A

This section will cover the completion of the application, how to avoid delays, important things to remember, and a review of all required documents.

A. The Application Process

- 1. Make sure you allow enough time for the application process to occur. To avoid delays:
 - a. Submit a thorough and complete application packet
 - b. Submit a check for the correct application fee amount for the program or programs you plan to offer.
 - c. Original signatures are required.
 - d. Never use white out.
 - e. Never fax the application.
- 2. Applications may be hand delivered or mailed.
- 3. Keep a copy for your records of all documents submitted including the application.

B. Application Fees

- 1. Application fees are based on the license type and capacity.
- 2. You may look up your applicable fee at:
<http://www.cclcd.ca.gov/res/pdf/annualfees2015.pdf>.
- 3. Centers that have more than one license type are referred to as combination centers. For a combination center, calculate the fee for each license type. For example, if you are applying for an infant center and a preschool, determine the fee based upon the capacity for each license type, then add the fees together and submit one check for the total amount.

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4. Make your check or money order payable to the Department of Social Services.
5. Application fees are not refundable.

C. The Application Booklet

The application booklet (LIC 281A) is broken up into two sections, Section A and Section B. We will begin with the Section A documents.

1. LIC 200A – Application for a Child Care Center License
 - a. Section 1 - Enter the name of the applicant(s), corporation, limited liability company, or agency.
 - b. Section 2 – “Requested Action”, since this is a new application, you will check the box, “Initial Application”.
 - c. Sections 3 through 8 - Explained on the back of the LIC 200A, are the directions for how to complete these items.
 - d. Section 9 – Fill in the applicable program type
 - e. Section 10 – Fill in the capacity and range of each age group. Include the total capacity at the bottom of that section.
 - f. Fill out each section completely.
 - g. Sections 18 through 20 – Read the applicant’s/licensee’s responsibilities.
 - h. Provide an original signature at the bottom of the application.

2. LIC 215 – Applicant Information

The Applicant Information form, LIC 215, must be completed by all applicants (i.e. each individual, each partner in a partnership, or chief executive officer, or authorized representative of a corporation). This form is not required of a public agency child care center applicant.

- a. An original signature is required at the bottom of the page two.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**3. LIC 508 – Criminal Record Statement**

The Criminal Record Statement, LIC 508, must be completed by applicants, administrators, supervisors, employees or volunteers who have contact with children in care, and any other individual required to obtain a criminal record clearance or exemption pursuant to Health and Safety Code Section 1596.871. This form is confidential.

- a. Answer YES or NO to each of the questions, and then fill out the information in the box at the bottom.
- b. Failure to disclose a prior criminal conviction will result in an automatic denial of an application or exemption request.
- c. Make sure your employees are aware of the consequences of providing false information.
- d. If “YES” is checked for any of the questions, a detailed description of the incident and its outcome must be given on the back of this form.
- e. A Criminal Record Statement, LIC 508, for the applicant and the director must be submitted with the application.
- f. An original signature and date are required on both page one and page two of this form.

4. LIC 308 – The Designation of Facility Responsibility

The Designation of Facility Responsibility, LIC 308, identifies the person authorized by the licensee to have responsibility over the center and to run the day-to-day operations. Typically, this is the director.

- a. The director is responsible for communicating with Licensing during site inspections and for signing any Licensing reports or documents.
- b. The LIC 308 must be signed by the applicant. This form is never signed by the director unless the director is also the owner/licensee.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**5. LIC 309 – Administrative Organization**

The Administrative Organization, LIC 309, is for corporations, partnerships and limited liability companies, public agencies or other associations. It is not for individual owners.

- a. Section I identifies the types of organization, the board officers, and any person having a beneficial ownership of ten percent or more in the corporation or Limited Liability Company.
- b. The information on this form must match the application, LIC 200A.
- c. The terms of office must match the article by laws.
- d. Section II is for public agencies.
- e. Section III is for partnerships.
- f. Section IV is for associations. Associations must provide a similar list of persons legally responsible for the organization, a contact person, appropriate legal documentation, and certification by the Office of the California Secretary of State.

6. LIC 401 – Monthly Operating Statement

The Monthly Operating Statement, LIC 401 establishes the estimated gross profit based on income from caring for children, less operating costs. (Note: Item 1 is not applicable to child care centers)

- a. The information on this form demonstrates that an applicant has budgeted for the number of children requested.
- b. The budget should be based on what the center will need to operate fully staffed and at capacity.
- c. Be sure to comply with labor standards with regard to payroll and employee benefits.
- d. The form must include the name of the preparer and have the original signature of the applicant.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**7. LIC 404 – Financial Information Release and Verification**

The Financial Information Release and Verification, LIC 404, provides financial information that is verified by a financial institution.

- a. Complete Section 1 Only.
- b. Ensure all account numbers are accurate.
- c. A separate form must be completed for each financial institution where banking is conducted.
- d. Original signatures are required on each form.
- e. The local Licensing office will send this document to the designated financial institution and obtain the information required.
- f. Licensing must receive the verified information directly from the financial institution, and therefore, will not accept verification provided by the applicant.

8. LIC 500 – Personnel Report

The Personnel Report, LIC 500, is a staff roster. All planned employee positions must be shown on this form.

- a. Include days and hours staff will be on duty.
- b. The form must reflect adequate staff coverage for all hours of operation.
- c. List the director/administrator and any teachers or other staff hired at the time of application.
- d. List vacant positions by title and indicate “To Be Hired”.
- e. If the form does not show that the director/administrator is there full time, a qualified substitute must be designated to act during their absence. (For example, if the director of a child care center is not opening and closing the center, then a qualified substitute must do so.

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- f. Page two of the Personnel Report is for staff exempt from criminal record background check requirements.
- g. Page two of the LIC 500 must be signed by the applicant/licensee or a designated representative. The signature must be original.

NOTE: If the applicant is the licensee of any other community care facilities, a separate LIC 500 must be submitted for each licensed facility.

9. LIC 501 – Personnel Record

The Personnel Record, LIC 501, is required to be submitted for the director, if the director is not the applicant. This form provides information about the director's qualifications. The director must sign the Personnel Record under penalty of perjury that the statements recorded on the form are true and correct.

10. LIC 503 – Health Screening Report, California Code of Regulations Section 101169(d)(15)

The Health Screening Report, LIC 503, is required for each applicant and the director. The Health Screening Report must:

- a. Demonstrate that the individual's health condition allows them to perform the type of work required.
- b. Be completed by or under the direction of a physician.
- c. Be current within one year of employment or 7 days after employment AND include the results of a TB clearance performed within the last year and evidence of immunity to or immunization against influenza, pertussis and measles.
 - i. the applicant and the director must provide the results of a TB clearance before the application is submitted and evidence of immunity to or immunization against influenza, pertussis and measles.
- d. Be submitted (with a TB clearance and evidence of immunity to or immunization against influenza, pertussis and measles) for the board president, the chief executive officer, or the person designated by board resolution, if the applicant is a corporation.

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If the applicant has other licensed facilities and already has a health exam on file, or if the director has worked at another facility with the same licensee and has a health exam on file, a new exam is not required.

11. LIC 610 – Emergency Disaster Plan, California Code of Regulations Section 101174

The Emergency Disaster Plan, form LIC 610 is a plan developed by the applicant to enable the facility to handle any emergency that may arise and to protect the safety and well-being of each child.

- a. A separate LIC 610 is required for each component of a child care program.
- b. Make sure that the correct non-emergency numbers are provided and not just 911.
- c. If the use of the relocation site requires an agreement from some other agency or person, the agreement must be verified in writing.
- d. This form must be submitted with the application and posted in the center.

12. LIC 9148 – The Earthquake Preparedness Checklist, Health and Safety Code Section 1596.867(a)

The Earthquake Preparedness Checklist, LIC 9148, is a form to assist licensees in being prepared in the case of an earthquake. Please refer to the “Disaster Guide for Homes and Centers” available on the Child Care Licensing Division website, Child Care Advocate Program webpage at <http://www.cclld.ca.gov/res/pdf/DisasterGuideforHomesCenters.pdf>. A copy of the LIC 9148 must be attached to the Emergency Disaster Plan, LIC 610.

13. LIC 999 – Facility Sketch (Floor Plan), California Code of Regulations Section 101173(a)(7)

The Facility Sketch, LIC 999, is required for all indoor and outdoor space.

- a. The first page of the LIC 999 is for a facility sketch of the floor plan for indoor space and it must show the dimensions of all rooms.

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- b. Designate the use of all rooms, and circle the names of the rooms that will be used by children and staff.
- c. Identify the location and number of toilets and sinks.
- d. For an infant program, show the crib space separate from the play space.
- e. Page two of the LIC 999 is for the facility sketch of the outdoor space. Among other things, the outdoor sketch must:
 - i. Show buildings in the outdoor space, including the facility, the parking lot, storage areas, driveways, fences, gardens, the playground and any other outdoor space intended for use by children.
 - ii. Show the location and dimensions of major equipment (including playground equipment) and any swimming pools or other bodies of water.
- f. For combination child care centers, a separate sketch showing indoor and outdoor space must be submitted for each component.
- g. There must also be one sketch showing the entire facility and the relationship between the indoor and outdoor space of all components, as well as any other uses of the buildings.

VI. COMPLETING THE APPLICATION – SECTION B

Section B describes the supportive documents that must be submitted with the application.

A. Documents Required for Partnerships, Corporations, and Limited Liability Companies (California Code of Regulations Section 101169, Health and Safety Code Section 1596.871)

- 1. Partnership Agreement
- 2. Articles of Incorporation
- 3. Articles of Organization

The information contained in these documents identifies who is ultimately responsible for which functions of the center. This information is especially critical when unresolved problems need attention. Licensing must know whom to contact regarding the operation of the facility.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**B. Partnership Applicants**

1. If the applicant is a partnership between two individuals, not related by marriage, a copy of the partnership agreement and all documents governing the partnership must be provided. This includes:
 - a. The name and principal business address of each general partner.
 - b. Description of the obligations and duties of each general partner.
 - c. Whether or not each can act on behalf of the others.
2. Each partner in a partnership is responsible and liable for the obligations of the license.
3. If the partnership is a limited partnership, only the general partner will be on the license and sign the application. However, the names and addresses of the limited partners must be provided.
4. Limited partners do not sign the application.

C. Corporation Applicants

1. Corporations must submit a copy of the Articles of Information with a state seal from the state in which they are incorporated. (Out of State or foreign corporations must submit proof of registration with the California Secretary of State's Office in order to do business in California.)
2. Corporations must also submit the constitution and bylaws with amendments, the board resolution that authorizes the submission of the application and designates a representative to act on behalf of the corporation, the Board officers' names, titles, business address and phone numbers, and the name of each person owning more than 10% stock in the corporation.

D. Limited Liability Company Applicants

1. Limited Liability Companies must submit:
 - a. A copy of their Articles of Organization stamped by the Secretary of State

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- b. An operating agreement, and
- c. Names, titles, business addresses and phone numbers of all managing members, managers and non-managing members holding 10% or more interest in the Limited Liability Company.

E. Verification of Director Qualifications (California Code of Regulations Section 101215.1)

To verify the qualifications of a director, the following documents must be submitted with the application:

- 1. Transcripts from an approved or accredited college or university, or a copy of a Child Development Site Supervisor Permit or Child Development Program Director Permit issued by the California Commission on Teacher Credentialing.
 - a. Approved schools, colleges or universities, including correspondence courses offered by the same, means those approved/authorized by the U.S. Department of Education, Office of Postsecondary Education or by the California Department of Consumer Affairs, Bureau for Private Postsecondary and Vocational Education.
 - b. Accredited schools, colleges or universities, including correspondence courses offered by the same, means those accredited by any one of the following recognized accrediting agencies:
 - i. Accrediting Commission, Distance, Education and Training Council.
 - ii. Western Association of Schools and Colleges.
 - iii. Accrediting Bureau of Health Education Schools.
 - iv. Association of Independent Colleges and Schools.
 - v. National Association of Trade and Technical Schools.
- 2. Each year of experience must be verified as having been performed satisfactorily, working at least three hours per day for a minimum of 100 days in a calendar year, as a teacher under the supervision of a person who would qualify as a director. California Code of Regulations Section 101215.1(l)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. Verification of 16 hours of preventive health and safety training, including:
 - i. Current pediatric first aid and pediatric CPR course completion cards issued by the American Red Cross, the American Heart Association, or by any vendor approved by the Emergency Medical Services Authority (EMSA), and
 - ii. A course completion card for the preventive health practices course or courses issued by a training program approved by EMSA, or
 - iii. A Certificate of Completion or certified copies of transcripts from an approved or accredited college that identify the number of hours and specified courses taken for the training.
 - iv. One hour of the preventive health practices training must be focused on childhood nutrition.

F. Job Descriptions

The applicant must establish staff positions responsible for specific tasks or duties and list them on the LIC 500, Personnel Report. Job descriptions for each position must be developed. California Code of Regulations Section 101217(a)(8)

1. Job Descriptions must:
 - a. Be clear, concise, and relevant to the position.
 - b. Include the duties and responsibilities for the position.
 - c. State the minimum qualifications that correspond to licensing requirements.
 - d. State special skills needed to perform the job.
 - e. State the lines of supervision, including the amount of supervision provided, and to whom, as well as supervision received and from whom. California Code of Regulations Section 101173(b)(5)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**G. Personnel Policies and Hiring Practices**

1. Personnel policies must include:
 - a. Work hours and shifts
 - b. Employee rights
 - c. Child abuse reporting procedures. Documentation must include that employees will be informed of their responsibilities to report child abuse to Licensing, as well as to the child protective agency. California Code of Regulations Section 101212(d)(1)(D)
 - d. Regulatory requirements such as staff coverage, staff qualifications, work schedules, and conditions of employment.
2. Hiring practices must:
 - a. Describe how employees are screened for the required education and experience. California Code of Regulations Section 101173(b)(5)
 - b. Explain in-service training requirements, how many times throughout the year the employees will be required to attend, and identify who will be conducting those trainings. California Code of Regulations Section 101173(a)(6)
 - c. Comply with labor laws. California Code of Regulations Section 101216(l)
 - d. Inform employees that the conditions of their employment include:
 - i. A criminal record clearance statement of prior criminal convictions, California Code of Regulations Section 101216(i)
 - ii. A criminal background check,
 - iii. A child abuse index check,
 - iv. A physical exam and health questionnaire which provides evidence of immunity to or immunization against influenza, pertussis and measles, and a TB clearance. California Code of Regulations Section 101216(g)(1) and Health and Safety Code Section 1597.055(a)(5).

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**H. In-Service Training for Staff**

As part of the plan of operation for the facility, establish a plan for in-service training for staff. The plan must address:

1. Which staff will receive training?
 - a. New vs. ongoing staff
 - b. How will it be determined which staff will receive the training
2. Who will provide the training?
3. What topics will be covered?
 - a. Topics must be pertinent to the facility type and the duties performed. For example, please see the types of training appropriate to jobs assigned in the California Code of Regulations Section 101216(c)(1-6)

I. Parent Handbook

1. A Parent Handbook is an informational tool designed to meet several regulatory requirements. It encompasses the program description, including a general overview of program philosophies, goals, and the basic and optional services and activities to be provided by the applicant. California Code of Regulations Section 101218.1(a)(2)(B)

It should include:

- a. Description of the purpose, goals, and program methods, including information on specific philosophies, if any, such as Montessori methods, or religious teachings that will be part of the program. California Code of Regulations Section 101173(b)(1)
- b. Designation of children whose needs can be met by the center's program. California Code of Regulations Section 101218(a)(1)
- c. Ages of the children accepted by the center. California Code of Regulations Section 101218(a)(2)
- d. Days and hours of operation California Code of Regulations Section 101169(d)(7)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- e. Any and all supplementary or optional services. California Code of Regulations Section 101218(a)(4)
 - f. Field trip provisions. California Code of Regulations Section 101218(a)(5)
 - g. Transportation arrangements. California Code of Regulations Section 101218(a)(6)
 - h. Food service provisions. The description must clearly indicate who will provide food services for each meal and whether food will be prepared in the facility or brought in from an outside source. California Code of Regulations Section 101218(a)(7)
 - i. Health and Medical policy
 - i. If the Licensee handles medications, a separate plan for handling prescription and non-prescription medications must be included. California Code of Regulations Section 101226(e)
 - ii. If the Licensee provides Incidental Medical Services (IMS), those services and relevant policies and procedures for providing those services must be included in the facility's Plan of Operation. California Code of Regulations Section 101173 and EM Regulation Interpretation and Procedures Sections 101173 and 101226
- NOTE: Providers may contact their Licensing Program Analyst directly for more information regarding providing IMS.
- j. Medical or Dental Emergency (Services to be provided in an emergency). California Code of Regulations Sections 101221(a)(7) and (9)
 - k. Sign in and out procedures (There must be a procedure for the transfer of responsibility for the child between the center and the child's parent or authorized representative.) California Code of Regulations Section 101229.1
 - l. Consultant and Community Resources to be utilized as part of the program. (This must be particularly detailed for programs serving children with special needs.) California Code of Regulations Section 101173(b)(12)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. Admission policies and procedures relevant to the category of children in care should include acceptance and retention limitations and the criteria for determining the appropriateness of placement, given an individual child's needs.
 - a. An interview with parents to explain the program and determine the needs of the child must be included in the admission policies.
 - b. Documents required for enrollment include:
 - i. A copy of the Admission Agreement
 - ii. Notification of Parents' Rights form, LIC 995
 - iii. Consent for Emergency Medical Treatment form, LIC 627
 - iv. Identification and Emergency Information form, LIC 700
 - v. Physician's Report – Child Care Centers form, LIC 701 (A physician's report is not required for school-age children enrolled in public or private school)
 - vi. Child's Preadmission Health History form, LIC 702
 - vii. Immunization Requirements – pursuant to Health and Safety Code Section 120335(b)
 - viii. Needs and Services Plan (for infants and children with special needs)
3. Discipline Policies should describe the types of discipline that will be used and under what conditions each type will be used. Also, state the type of discipline that will not be permitted.
 - a. Corporal punishment, nor any violation of personal rights, is ever allowed regardless of parental discipline practices or parental permission. California Code of Regulations Section 101223.2
 - b. Describe the parent contact process and grounds for termination of a child.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**J. Schedule of Daily Activities**

1. The schedule of daily activities must include:
 - a. Times that meals and snacks are served. California Code of Regulations Sections 101227(a)(5) and 101173(a)(8)
 - b. Nap time (if needed). California Code of Regulations Section 101230(b)
 - c. Times of specific activities (circle time, outdoor play, etc.). California Code of Regulations Section 101218(a)(3)

K. Admission Agreement

1. The admission agreement is a legal contract with the parents. It must include:
 - a. Basic Services
 - b. Optional Services
 - c. Reasons for Termination of Enrollment of a Child
 - d. Consent for Toddler Option Component, if applicable
 - e. Licensing agency's authority to inspect the facility and interview children in care
 - f. Payment policy and individual rates (including any fee-related policies such as late fees and returned check fees, as well as any policies related to refunds.)
 - g. Modification (requires written notice, and 30 days prior to change taking effect.)
 - h. Signed and dated by both parties

L. Sample Menu

1. A sample menu must be submitted, and include:
 - a. One week's worth of planned snacks and meals from the four basic food groups.
 - b. Portion sizes.
 - c. Times meals will be served.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**M. List of Furniture and Play Equipment**

1. The list of indoor and outdoor furniture, such as tables and chairs, cots and mats, and play equipment must be sufficient for the facility's capacity, age-appropriate, safe and in the variety needed for the activities provided.
2. Infant programs are required to have safe cribs, mats, and/or cots available for napping. For an infant who is capable of crawling out of a crib, a mat or cot should be used.
3. As of December 28, 2012, drop-sided cribs no longer meet federal safety standards and are prohibited in child care settings.

N. Control of Property

1. Control of property is established by the following documents:
 - a. A grant deed, property tax bill, mortgage statement or a rental or lease agreement.
2. The rental or lease agreement must correspond to the facility and include the contact information for the property owner.
3. A sublease must be approved by the original leasing party.

O. Bacteriological Analysis of Water

1. The bacteriological analysis of water is to be completed only if the facility obtains its water from a well or private water source.
2. If water comes from a private water source, the applicant must submit evidence that an onsite inspection of water and a bacteriological analysis has been conducted by the proper authority to establish the safety of the water.

P. Resource and Referral Agencies

1. Resource and Referral Agencies serve a very important role for both parents and child care providers and can assist you in developing your child care program.
2. Providers are encouraged to share their contact information with the local Resource and Referral Agency that serves their area, so that they can receive information about supportive services available in the set-up and operation of your child care program.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. It is to the provider's advantage to provide their contact information because this is a child care provider's primary avenue for receiving child care referrals, as well as free services and other important information provided by the Resource and Referral Agencies.
4. Community Care Licensing cannot provide a provider's contact information to the local Resource and Referral Agency prior to licensure without the provider's permission.

VII. CLOSING THE SESSION

- A. The Child Care Center Application Orientation is complete.
- B. HOWEVER, before an application can be submitted, applicants must attend both the Application Orientation, and the Operations and Record Keeping Orientation.
- C. A certificate from BOTH orientations must be submitted with the application.
- D. Copies of all documents, including the certificates from both orientations, should be kept.
- E. If the applicant has taken the Online Orientation, they are able to view the orientation as often as they'd like within 30 days following the completion of the orientation, AND in case the certificate is misplaced, they may print another copy. Applicants who take the In-Person Orientation cannot do not have this benefit.
- F. If you lose your certificate, and took the Online Orientation, you are able to log in and reprint your certificate. However, if you took the Orientation in person, the only way to get another certificate is to pay the orientation fee and take the orientation again.

COMPONENT II ORIENTATION OUTLINE AND LIST OF HANDOUTS

Component II is entitled, "Child Care Center Operations and Record Keeping Orientation". This orientation is required for new applicants, directors, and site supervisors. Public agencies, corporations, limited liability companies, and partnerships must have their board president, CEO, or managing partner, as well as their site supervisor or director complete this online presentation.

This orientation covers the requirements for day-to-day operation of a child care center, and the paperwork or forms required to be kept on file for center employees and children in care.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**I. OPENING THE SESSION**

- A.** Have each attendee sign in on the Orientation Meeting Tally (LIC 186) prior to starting the session. This attendance sheet is for use by the licensing agency only. Copies of the list are not to be released to outside agencies.
- B.** Introduce yourself, identify the Regional Office, address and telephone number.
- C.** Take care of “housekeeping” items – (i.e. timeframe, break time, location of restrooms, etc.)
- D.** Advise participants that during this session they will be using the regulations for child care licensing, California Code of Regulations, Title 22, Division 12, and Health and Safety Code.
- E.** Information provided during this session will assist providers in the maintenance and operation of their facility as well as provide them with information to avoid potential problem areas.
- F.** Encourage the group to ask general questions pertaining to licensing as they come up, but ask them to refrain from asking case specific questions as those can be addressed with their specific licensing evaluation who will be assigned to them one they submit their applications.

II. GENERAL OPERATION INFORMATION**A. Licensee Accountability**

Ultimately, the Licensee is responsible for the overall operation and maintenance of the facility. California Code of Regulations Section 101214

- 1. Specifically, the Licensee is accountable for:
 - a. The general supervision of the center and the establishment of policies concerning its operation.
 - b. The development and maintenance of a financial plan that ensures sufficient resources are available to meet operating costs for the care and supervision of the children.
 - c. When absent from the center, the Licensee must also make provisions for continuing operation by all staff.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. The Licensee may serve as the administrator or the director of the center, provided that he or she meets the qualifications specified in regulations.

B. Limitations of the License California Code of Regulations Sections 101161 and 101361

1. The Licensee is responsible to ensure that the facility operates within the terms and conditions of the license.
2. A license is for a specific address, age group, number of children, and ambulatory status. (e.g. If you are licensed for 40 children, you cannot care for 41 children. If you are licensed for preschool-age children, you cannot care for a six year old or an infant.)

C. Inspection Authority California Code of Regulations Section 101200 and Health and Safety Code Sections 1596.852, 1596.853, and 1596.8535

1. The Department of Social Services has inspection authority to secure compliance with, or to prevent a violation of laws and regulations.
2. Inspection authority means that any duly authorized officer, employee, or agent of the Department may, upon presentation of proper identification, enter and inspect any place providing personal care, supervision and services at any time, with or without advance notice. This includes, but is not limited to:
 - a. Inspecting facilities
 - b. Interviewing staff and children
 - c. Observing the physical condition of children in care, and
 - d. Auditing and copying facility records.

D. Types of Licensing Inspections

1. There are five types of licensing inspections:
 - a. Pre-licensing
 - b. Random
 - c. Complaint
 - d. Plan of Correction, and
 - e. Case Management
2. Pre-licensing inspections – Announced. The pre-licensing visit is the only “announced” visit that Child Care Licensing makes. When someone has applied for a license, and the application is considered to be complete, a pre-licensing visit is scheduled.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. Random inspections – are computer generated. Thirty percent of child care facilities are visited per year based upon a computer generated list of facilities to be visited.
4. Complaint inspections – occur within 10 days of receipt of a complaint. A Licensing Program Analyst will come to the center unannounced and inform the provider that he or she is there to investigate a complaint. The provider is told what the allegation is, and which children and/or staff may be interviewed.
5. Plan of Correction inspections – are conducted to ensure that previously cited deficiencies have been corrected as stipulated in the “Plan of Correction” that was agreed upon by the provider and Licensing.
6. Case Management inspections – are made to facilities needing increased supervision, consultation, or reviewing of operational concerns.

E. Inspection Process

1. Once licensed, the facility must be in compliance with all licensing laws and regulations.
2. The Licensing Program Analyst will come to you center for site inspections.
3. If your center is in violation of any laws or regulations, a citation will be issued.
4. When a citation is issued, the Licensing Program Analyst will work with the Licensee or director to develop a “Plan of Correction”. (e.g. If a center had a play structure that was in need of repair, the plan of correction would describe what is broken or hazardous and what needs to be done in order to repair it and make it safe. The Licensing Program Analyst would then work with the Licensee or director to establish a date when the repair work must be completed.)
5. In addition to a citation, civil penalties may be assessed depending on the circumstances and the type of violation cited.

F. Complaint Investigations

1. When a Licensing Program Analyst comes to your facility to investigate a complaint, they will find the complaint to be **substantiated, unsubstantiated, or unfounded**.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. In order to determine if a complaint is **unfounded**, **unsubstantiated**, or **substantiated**, a careful assessment of the quantity, quality and context of the evidence must be performed.
3. A **substantiated complaint**, is one in which Program has determined that an allegation is valid based upon the application of the preponderance of the evidence standard.
4. An **unsubstantiated complaint** is one in which Program has been unable to substantiate an allegation because there is insufficient evidence to satisfy the preponderance of the evidence standard.
5. An **unfounded complaint**, means that the allegation is false, could not have happened, and/or is without a reasonable basis.

G. Violation Types

1. There are two types of violations – Type A and Type B.
2. Type A violations pose a **direct and immediate** risk to the health, safety or personal rights of children.
 - a. Examples of Type A violations are deficiencies related to bodies of water, corporal punishment or lack of supervision.
3. Type B violations pose **potential** risk to the health, safety or personal rights of children.
 - a. Examples of Type B violations are non-compliance issues related to poorly maintained play equipment, or missing information in a child or employee's file.

H. Posting Notices of Deficiencies Health and Safety Code Section 1596.8595

1. The Licensee must post for 30 days, near the entrance of the facility, any Facility Evaluation Report (LIC 809), that cites a Type A violation, and the plan of correction to be implemented.
2. The Licensee must also post for 30 days, any Complaint Investigation Report (LIC 9099), which documents substantiated findings of a complaint which resulted in a Type A violation.
3. Failure to post the required notices is a \$100 dollar civil penalty.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

4. The Licensee must post a Proof of Correction (LIC 9098), to notify parents that the Type A violation has been corrected.
5. The Department also posts licensing reports online

I. Civil Penalties California Code of Regulations Section 101195

1. Civil penalties are assessed for specific types of violations.
 - a. The operation of a facility without a license is **\$200** per day.
 - b. Lack of a Criminal Record Clearance, Exemption, Request for Transfer of a Criminal Record Clearance, or an approved Request for Transfer of a Criminal Record Exemption shall result is a civil penalty of **\$100** per day up to 5 days for the first occurrence.
 - i. Subsequent violations within a twelve month period are assessed **\$100** per day up to **30 days or \$3,000**.
 - ii. Licensee's should make sure that they have received a criminal record clearance, exemption, or verification of a requested transfer of a criminal record clearance, for **each** staff person **prior to initial presence in the facility**.
 - c. Failure to meet a Plan of Correction date, which is the date set by the analyst for you to correct a deficiency for which you have been cited, will result in a civil penalty of **\$100** per day until the deficiency is corrected.
 - d. Penalties are assessed when violations for which a civil penalty was assessed, are repeated within a 12-month period.
 - i. Penalties are **\$250** immediately – per violation, and **\$100** per day, per violation, until corrected.
 - e. Failure to post a Notice of Site Visit, a Type A Violation, or a Verification of Correction of a Type A Violation, are each a **\$100** civil penalty.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- f. The following violations warrant a civil penalty of \$500 immediately and \$100 per day until corrected:
- i. **Absence of Supervision** – including a child left unattended, a child supervised only by a person under 18 years of age, or a child wandering away due to lack of supervision.
 - ii. **Accessible Bodies of Water**
 - iii. **Refused Entry of Licensing Staff**
 - iv. **Presence of an Excluded Person** – an individual that has been ordered off the premises.
 - v. **Violations that Result in Injury or Sickness**

(The above violations also have a repeat assessment of \$1,000 immediate civil penalty per repeat violation and \$100 per day until corrected if the repeat occurs within 12 months of the previously cited violation.)

- g. Violations that result in serious injury, physical abuse, or death are assessed an immediate civil penalty based on the chart below:

Facility Type	Capacity	Civil Penalty For Death	Civil Penalty For Serious Injury/Physical Abuse
Centers	≤ 30	\$7,500	\$2,500
	31-100	\$10,000	\$5,000
	More than 100	\$15,000	\$10,000

J. Fees Health and Safety Code Section 1596.803 and California Code of Regulations Section 101187

1. Application fees are based on the capacity of the child care center. The annual fee will be half of the initial application fee.
2. When a center moves to another location, the change of location fee is also half of the initial application fee.
3. The fee to increase or decrease the capacity of the center is **\$25**.

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4. If a Licensee pays their annual fee late, the late charge is an additional **50%** of their annual fee. (e.g. If the annual fee is **\$200**, the Licensee will be responsible for paying **\$300**.)
5. Facilities that are placed on probation pay an increased fee which is twice the annual fee.
6. For a current listing of Licensing fees, please visit the Licensing Information webpage at:
<http://www.cclcd.ca.gov/res/pdf/annualfees2015.pdf>.

K. Program Types

1. There are a variety of program types for child care centers.
 - a. Infant programs - serve children from birth to 24 months.
 - i. It is permissible for a child to stay in an infant center up to a maximum of three years, based on the child's developmental needs.
 - ii. Infant programs and preschool programs may add what is called a "toddler option" component.
 - iii. For an infant center, the toddler option component enables the center to care for children up to the age of 3 years and provides the ability to separate older infants and toddlers ages 18 months to 3 years from the infant that are younger than 18 months.
 - b. Preschool programs – typically serve children who are two years old up to entry into first grade.
 - i. A toddler option added to a preschool program enables the preschool to have a special program for children between the ages of 18-3 years.
 - ii. Children older than 3 years may continue in a toddler program with written permission from the parent.
 - c. School-age programs – serve children enrolled in kindergarten or above.
 - d. Mildly Ill – serve any child who is prohibited from participation in a child care center due to discomfort, injury, or symptom of illness.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. Each program must be physically separate and distinct. There must be separate classrooms and a separate play space for each program or age group.
3. Child Care Center regulations apply to all license types and have additional requirements specific to the different age groups or programs.

III. STAFF REQUIREMENTS**A. Qualifications for a Director of a Preschool Program** California Code of Regulations Section 101215.1

1. To qualify as a preschool director, the individual must meet one of the following:
 - a. High school graduate or GED, and 12 semester units in child growth and development or human growth and development; child, family and community, and program or curriculum development; and 3 units of administration or staff relations. Four years teaching experience in a licensed child care center or comparable group child care program.
 - b. An Associate of Arts Degree in child development which includes 3 semester units of administration of staff relations and two years of teaching experience.
 - c. A Bachelor of Arts Degree in child development which includes 3 semester units of administration and one year teaching experience.
 - d. A Child Development Site Supervisor Permit or Program Director Permit issued by the California Commission on Teacher Credentialing.

B. Qualifications for Directors of Infant and School-Age Programs California Code of Regulations Sections 101415 and 101515

1. Infant program directors must meet the qualifications for a preschool director with the following infant-specific requirements:
 - a. At least 3 semester units must be related to the care of infants.
 - b. Four years teaching experience must be with children under age 5.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. School-age program directors must also meet the qualifications for a preschool director; however, other course work may be substituted for the child growth and development, and child, family, and community . The alternate coursework must be equivalent or more pertinent to caring for elementary school-age children.

C. Qualifications for a Preschool Teacher California Code of Regulations Section 101216.1(c)

1. To qualify as a preschool teacher, the individual must meet one of the following:
 - a. 12 semester units in child growth and development, or human growth and development; child, family and community , or child and family; and age-level program curriculum; and 6 months experience working in a licensed child care center.
 - b. Child Development Associate Credential (CDA) with the appropriate age-level endorsement issued by the CDA National Credentialing Program of the Council for Early Childhood Professional Recognition; and 6 months on-the-job training and/or work experience in a licensed child care center.
 - c. Child Development Associate Teacher Permit, Teacher Permit or Master Teacher Permit issued by the California Commission on Teacher Credentialing.

D. Qualifications for a Teacher of and Infant or School-Age Program California Code of Regulations Sections 101416.2(c) and 101516.2

1. Teachers for infant programs must meet the preschool teacher requirements, but three of the semester units must be related to infant care and the six months of experience in a child care center must be with children under age 5.
2. School-age program teachers must also meet the preschool teacher requirements, but can substitute certain other college units and experience that is more pertinent to caring for older children.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. In addition to the academic and professional experience requirements, at least one director or teacher at each center must complete 16 hours of preventive health and safety training, including pediatric cardiopulmonary resuscitation (CPR), pediatric first aid, and preventive health practices, one hour of which must be in childhood nutrition.
 - a. Online courses are not acceptable for this training. Be sure to check the Emergency Medical Services Authority website at http://www.emsa.ca.gov/child_care, to find where providers and staff may obtain this training.

E. Partially Qualified Teacher – Preschool California Code of Regulations Section 101216.1(b)(1)

1. Partially qualified teachers may be employed in a preschool if they have completed the following:
 - a. Six semester units of early childhood education, and
 - b. Continue to be enrolled in at least two semester units at an accredited college or university until they become fully qualified.

F. Partially Qualified Teacher – Infant Program California Code of Regulations Section 101416.2(b)(1)

1. Partially qualified teachers of infant programs must have completed the following:
 - a. Three semester units of early childhood education with
 - b. Three semester units of infant care and
 - c. Continue to be enrolled in at least two semester units at an accredited college or university until they become fully qualified.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**G. Qualifications for an Aide in a Child Care Center** California Code of Regulations Section 101216.2

1. To be an aide in a child care center, there are no college units required, but the individual must:
 - a. Be 18 years of age, or
 - b. Be either a high school graduate, or
 - c. Be enrolled in a Regional Occupational Program (ROP) at an accredited high school or college.

H. Staff – Preschool Ratios California Code of Regulations Section 101216.3

1. Maintaining staffing ratios and providing proper care and supervision are key to ensuring children cannot leave a facility unnoticed. Whenever children are not properly supervised, problems arise that can lead to injuries and children leaving facilities unnoticed. Appropriate staffing levels are as follows:
 - a. One fully or partially qualified teacher to 12 children, or
 - b. One fully or partially qualified teacher and one aide to 15 children, or
 - c. One **fully** qualified teacher and one aide to 18 children. (The aide in this scenario must have either six semester units in early childhood education or child development, or at least two semester units, and continuation in the educational program until six semester units have been completed.)

I. Staff – Infant Ratios California Code of Regulations Section 101416.5

1. For an infant program, the appropriate staffing levels are as follows:
 - a. One fully or partially qualified teacher to four infants, or
 - b. One fully qualified teacher and two aides to 12 infants. An aide may not supervise for than 4 infants. California Code of Regulations Section 101416.5(b)(1)(B)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- c. Aides in an infant program must work under the direct supervision of a fully qualified teacher. (There are exceptions to this requirement if the aide is 18 years of age and meets certain regulatory requirements.)

J. Staff – Toddler Component Ratios California Code of Regulations
Sections 101216.4(a)(4)&(5)

- 1. If your preschool or infant program has a toddler component, the appropriate staffing ratios are:
 - a. One fully or partially qualified teacher to six toddlers, or
 - b. One fully qualified teacher and one aide to 12 toddlers.

K. Napping Ratios

- 1. There are different ratios when supervising napping children.
 - a. For a preschool program, there must be one teacher or aide to 24 napping children. California Code of Regulations Section 101230(c)
 - b. For an infant program, there must be one teacher or one aide to 12 napping children. California Code of Regulations Section 101416.5(d)
- 2. There must still be the appropriate number of teachers and aides onsite to meet the overall ratio when children are awake.

L. Staff – School-Age Ratios California Code of Regulations
Section 101516.5

- 1. Appropriate staffing levels for a school-age program are:
 - a. One teacher to 14 children, or
 - b. One teacher and one aide to 28 children.

M. Sign In and Sign Out California Code of Regulations Section 101229.1

- 1. A child must be signed in and signed out of the center each day.
- 2. The person that signs the child in and signs the child out, must use his or her full legal name as it appears on their driver's license.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**IV. HEALTH, SAFETY, CARE AND SUPERVISION****A. Care and Supervision**

1. No child shall ever be left without the supervision of a teacher at any time. California Code of Regulations Section 101226.3
 - a. Supervision includes visual observation.
 - i. This means that staff is required to continually pan the area and engage in frequent movement about the play area.
 - ii. This is an important responsibility in order to prevent children from leaving the facility due to lack of visual supervision and to prevent injuries, accidents or other health and safety risks from occurring.
2. Distractions are to be eliminated.
 - a. Visual supervision is not met by talking on a cell phone or having general or social conversations with another staff person or parents.
3. Frequent violations related to care and supervision will result in a non-compliance conference and assessment of civil penalties.

B. Health-Related Services California Code of Regulations Section 101226

1. Licensees are required to immediately notify a child's parent or authorized representative when the child becomes ill or has sustained an injury that is more serious than a minor cut or scratch.
2. The center must provide an isolation area that is equipped with a mat or cot, couch or bed and a bathroom separate from the one available for children who are well, for use when a child becomes ill.
3. Less serious injuries such as minor cuts, scratches or scrapes and bites from other children, must be documented in the child's record and reported to the child's parent when the child is picked up.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

4. Make prompt arrangements for emergency medical treatment.
 - a. Do not wait for the parents to call.
 - b. Emergency medical information must be on file, such as the preferred hospital and dentist.
 - c. Teachers supervising activities away from the center premises must carry emergency information for each child that is participating in the off-site activity.
5. First aid supplies must be stored centrally, and inaccessible to children.
6. Facilities that choose to administer medications must properly store, and log all medications.
 - a. All medications, prescription and nonprescription, must have the child's name and date on them.
 - b. Prescription medications must be labeled and administered according to the label directions, and as prescribed by the child's physician.
7. Incidental Medical Services
 - a. Incidental medical services are the administration of blood glucose monitoring, inhaled medication, Epi-Pen, glucagon, gastrostomy tube feeding and care, insulin shots or pumps, and carrying out other medical orders when the child's physician has determined that a layperson can be trained and safely carry out the orders.
 - b. Facilities serving children who need Incidental Medical Services shall identify those services in their Plan of Operation. The plan shall describe the facility's policies and procedures that ensure the proper safeguards for providing Incidental Medical Services are in place. Topics include, but are not limited to: Types of services, records to be obtained and maintained, training requirements, staffing requirements (trained staff must be available when children needing service are in care), proper safety precautions in place, communication with parents, and compliance with reporting requirements.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**C. Food Service** California Code of Regulations Section 101227

1. Child care centers that provide meals to children must ensure that the food is of good quality and in the quantity sufficient to meet the needs of the children.
2. Arrangements must be made so that each child has available, at least three meals per day.
3. Between meals, snacks must be provided.
4. Maintain current menus.
5. Post menus one week in advance, where parents can see them.
6. Menus must be kept for 30 days.
7. Food should be stored, prepared, and served in a safe and healthful manner, free from contaminations, pests, toxins and cleansers.
8. Food preparation areas must include hot and cold running water, refrigeration, and food storage.

D. Indoor Space California Code of Regulations Section 101238.3

1. Must be 35 square feet.
2. The facility must be clean, safe, sanitary, and in good repair.
3. Hazardous materials must be inaccessible and storage areas for poisons must be locked.
4. There must be a variety of age-appropriate toys and furniture.
5. Drinking water must be available in each classroom.
6. In combination centers, indoor space must be physically separated based on program types.

E. Outdoor Space California Code of Regulations Section 101238.2

1. Must be 75 square feet.
2. Outdoor space must include a shaded rest area, either naturally with trees or a shade structure.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. Drinking water must be readily available.
4. The play area must be easily accessible by the children, and free from hazards, such as holes or broken glass.
5. All bodies of water, including ponds, and water features, must be made inaccessible through the use of an appropriate cover or five-foot fence.
6. The playground must be enclosed with at least a four-foot fence around the perimeter.
7. In combination centers, there must be separation of programs – preschool children cannot be on the same playground at the same time the school-age children are out.

F. Fixtures, Furniture, Equipment and Supplies California Code of Regulations Section 101239

1. A comfortable temperature must be maintained at the center at all times. The recommended temperature for the rooms occupied by the children is anywhere between 68 degrees Fahrenheit and 85 degrees Fahrenheit. In areas of extreme heat, the maximum is 20 degrees Fahrenheit less than the outside temperature.
2. The center must be adequately lit to ensure the comfort and safety of children and staff.
3. There must be appropriate storage and disposal of solid waste, with tight-fitting lids on all trash cans. Solid waste containers must be emptied at least once per week, or more often if necessary.
4. There must be a variety of age-appropriate toys and furniture with a sufficient quantity to allow the children present to fully participate in activities.
5. Furniture and equipment, including cots and mats used for napping, must be arranged so that no exit is blocked.

G. Activities and Napping California Code of Regulations Section 101239.1

1. Centers are required to provide time for both active play and quiet time.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. Children in full day programs must be given the opportunity to nap or rest.
 - a. Cots or mats must be provided.
 - b. Mats must be constructed of foam that is at least $\frac{3}{4}$ of an inch thick and covered with vinyl or similar material that can be wiped.
 - c. There should be sufficient walk space between the cots or mats.
 - d. Each cot or mat must be wiped with detergent or disinfectant weekly or when soiled or wet, and must have a clean sheet and blanket to cover the child.
 - e. Sheets and blankets are to be washed weekly or when soiled or wet.
 - f. Bedding is not to be shared, and is to be stored individually.

H. Requirements for Infant Programs California Code of Regulations
Section 101351

1. Infant programs are typically for children under 2 years of age.
 - a. For children whose developmental needs require them to remain in an infant program, they may do so until they are 3 years old. California Code of Regulations
Section 101152
2. Each infant must be constantly supervised and under direct visual observation by a staff person at all times. No infant is to be left unattended at any time.
3. The infant care center must develop an activity plan to ensure that infants have quiet and active play, rest and relaxation, and eating and toileting. California Code of Regulations Section 101430
4. Infants must be afforded individual attention which includes being held. California Code of Regulations Section 101430

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**I. Infant Needs and Services Plan** California Code of Regulations
Sections 101419.2 and 101428

1. The infant’s needs and services plan should be developed by the center director or assistant director and the parent, prior to the infant’s first day at the center.
2. The plan should include instructions on feeding, toilet training, and any special needs the infant may require, like relief from allergies, or special exercises for infants with physical disabilities.
3. The plan must be signed and updated at least quarterly or as often as necessary.

J. Infant Food Service California Code of Regulations Section 101427

1. Infants who are unable to sit unassisted in a high chair or other seating equipment, must be held during feeding.
2. Infants who are able to hold a bottle, may sit in a high chair or other seating equipment.
3. There should be no propped bottles.
4. Infants must not be allowed to walk around carrying their bottle.
5. The food preparation area is to be separate from the diapering area.
6. Formula and food are to be properly stored and prepared.
 - a. Bottle and food containers must be labeled with the child’s name and current date.
7. Formulas in partially consumed bottles should be discarded at the end of each day and bottles and nipples sterilized.

K. Infant Care Personal Services California Code of Regulations Section 101428

1. Infants must be kept clean and dry at all times.
2. Soiled clothing and diapers must be placed in an airtight container and returned to the parents at the end of each day.
3. Disposable diapers should be disposed of as recommended on the diaper packaging or placed in an airtight container for daily disposal outside of the center.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

4. Containers must be sanitized daily.
5. Changing tables and pads are to be disinfected after each use, even when disposable covers are used.
6. Changing tables are to be within an arm's reach of the sink – not the kitchen sink but a bathroom or utility sink.
7. You may use a changing pad on the floor, but it must be within an arm's reach of the sink.
8. Towels and washcloths used for cleaning infants must not be shared with other infants or staff and must be washed after each use.
9. If the center offers potty training, the potty chairs are to be promptly emptied into a flushing toilet, and all surfaces must be thoroughly cleaned and disinfected.
10. No infant shall be left unattended while on a potty chair.

L. Infant Care General Sanitation California Code of Regulations
Section 101438.1

1. Caregivers are to wash hands before feeding, and after diapering.
2. Only dispenser soap, such as liquid or powdered soap, in the appropriate dispenser, and disposable paper towels are to be used.
3. Floors are to be vacuumed, or swept and mopped at least daily.
4. Carpets and throw rugs are to be cleaned at least every six months.
5. Walls are to be washed and disinfected weekly.
6. Toys and bedding are to be washed and sanitized daily.
7. Items used by pets and animals must be kept out of reach of infants.

M. Infant Equipment and Supplies California Code of Regulations
Section 101439

1. Changing tables are to be within an arm's reach of a sink.
2. Changing tables are to have a washable, padded surface at least 1 inch thick, and have raised sides at least 3 inches high.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

3. Changing tables are to be cleaned and disinfected properly after every use.
4. High chairs or low-wheeled feeding tables must have broad-base legs.
5. Infants must never be left unattended or allowed to stand up in a high chair.
6. Toy storage containers must not contain lids and must be free of sharp edges, splinters, and other rough areas that pose a danger.
7. There must be one potty chair to every 5 infants being toilet trained.
 - a. A combination of potty chairs and toilets with training seats may be used to meet the ratio.

N. Items Not Permitted in Licensed Child Care Facilities

1. Baby walkers and bouncers are not permitted on the premises of a child care center. California Code of Regulations Section 101439(d)(2)
2. Johnny Jumpers and saucer chairs are also prohibited.
3. Swings are allowed, but you must ensure that infants are not in them for long periods of time.
4. To stay current with consumer product safety and recall information, the Consumer Product Safety Commission's website should be checked regularly at <http://www.cpsc.gov/en/Recalls/>.

O. Infant Napping Equipment and Area California Code of Regulations Section 101439.1

1. Infant programs are to have safe cribs, mats, and/or cots available for napping.
2. A separate crib area is required.
3. A four-foot partition can separate the crib area from the activity space.
4. There must be cribs for children who are not able to climb out of a crib.
 - a. A vinyl or washable mattress cover must be on each crib.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

5. Stacking wall cribs or cribs stacked one on top of another also called tiered cribs are not permitted.
6. Only cribs that comply with federal safety standards are permitted. Drop-side rail cribs are not permitted.
7. A mat or cot must be used for older infants or infants who are capable of climbing out of a crib.

V. REPORTING REQUIREMENTS AND GENERAL RECORDKEEPING**A. Mandated Reporter** California Code of Regulations Section 101212(d)(1)(D)

1. Licensees, Directors, or site supervisors and all of the center employees, are mandated reporters. This means they are all required by law to report suspected child abuse.
2. Suspected child abuse is to be reported to ANY police or sheriff's department, Child Protective Services or the Child Abuse Hotline, or Community Care Licensing.

B. Unusual Incident Reporting California Code of Regulations Section 101212(d)(1)

1. The Licensee or Director is required to report any incident such as:
 - a. Injury requiring medical attention California Code of Regulations Section 101212(d)(1)(B)
 - b. Any unusual incident such as a child missing or wandering from the center for any reason California Code of Regulations Section 101212(d)(1)(C)
 - c. An explosion or fire California Code of Regulations Section 101212(d)(1)(H)
 - d. Death of a child for any reason California Code of Regulations Section 101212(d)(1)(A)
 - e. Epidemics California Code of Regulations Section 101212(d)(1)(E)
2. The local Regional Licensing Office must be contacted within the Department's next working day, and a follow-up written report sent to that office within seven days following the occurrence. California Code of Regulations Section 101212(d)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**3. LIC 624 – Unusual Incident Report**

The Unusual Incident Report, LIC 624, can be used to report unusual incidents in writing.

- a. Provide as much detail as possible.
 - i. The analyst will look for a detailed account of who, what, where, when, why and how the incident occurred.
 - ii. The analyst will want to know what was happening before the incident occurred and what happened afterward.
 - iii. The analyst will most likely call and visit the facility to obtain more information.
- b. If there are other agencies or individuals that are also making a report, be sure to include the contact information of the individuals you spoke with on the second page of this form.

C. Other Reporting Requirements California Code of Regulations Section 101212(e)

1. You will need to notify Licensing within 10 days if you change your director, mailing address, sell the center or merge with another center.
2. If you plan to change any structural or physical aspect of your center. (e.g. A wall erected to split a classroom in two, or make an office a classroom), Licensing must be notified prior to making the change.
3. Licensing must be notified if a Licensee makes changes to its program that affect services to the children in care, such as administering medications or providing Incidental Medical Services. In such a case, the Licensee must submit an addendum to its plan of operation.

D. Personnel Records California Code of Regulations Section 101217

1. The Licensee is responsible for ensuring that personnel records are readily available for review by Licensing.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

2. The director or site supervisor is responsible for maintenance of complete and current personnel files for staff that work in the facility.
3. Personnel records may be kept in a central administrative location provided that they are readily available for review by Licensing staff at the child care center during a site visit.
4. Personnel records must be kept for review by Licensing staff for three years after a staff person leaves employment or is terminated.
5. LIC 500 – Personnel Report

The Personnel Report, LIC 500, is a staff roster.

- a. All employee positions must be shown on this form.
- b. Each employee's shift hours and days worked must be reflected.
- c. Adequate staff coverage for all hours of operation must be demonstrated on this form.
- d. A new LIC 500 must be sent to Licensing every time there is a change in staff.
- e. If the form does not show that the director or site supervisor is there for the duration of the day, a qualified substitute must be designated to act in their absence.
 - i. If the director of the child care center is not opening and closing the center, then a qualified substitute must do so.
- f. Page two of the Personnel Report is for staff exempt from criminal record background check requirements.
- g. Page two must have an original signature by the Licensee or Director when it is sent to Licensing.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**6. Personnel Records Required for All Staff**

Listed here are all of the forms and records that must be maintained in individual staff personnel files:

- a. Personnel Record, LIC 501
- b. Health Screening Report, LIC 503
- c. Criminal Record Statement, LIC 508
- d. Notice of Employee Rights, LIC 9052
- e. Reporting Requirements for Suspected Child Abuse, LIC 9108 – this form must be signed by the employee
- f. Criminal Record Clearance Information
- g. Evaluation of Teacher Qualifications, LIC 9095
- h. Transcripts and letters of experience
- i. Proof of completion of 16 hours of Health and Safety Training – which must include certification in pediatric cardiopulmonary resuscitation (CPR), pediatric first aid and preventive health practices, including one hour of childhood nutrition - if applicable
- j. Verification of training to provide specific Incidental Medical Services – if applicable
- k. An appropriate driver's license for staff who transport children

7. LIC 501 – Personnel Record

The Personnel Record, LIC 501, is required to be submitted for the applicant and director (if the director is not the applicant), when an initial application is submitted.

- a. This form is to be submitted any time there is a new director at the center.
- b. This form is also to be completed by each employee at the center as it provides information about the employee's qualifications.
- c. Page two of the LIC 501 must be signed by the individual who completes the form, to certify under penalty of perjury, that the statements recorded on the form are true and correct.

8. LIC 503 – Health Screening Report, California Code of Regulations Section 101216(g)(2)

The Health Screening Report, LIC 503, demonstrates that the employee's health condition allows them to perform the type of work required.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- a. This form is completed by or under the direction of a physician.
- b. It must be current within one year of employment by the center or within 7 days after being hired.
- c. The form also includes the results of the employee's TB clearance performed within the last year and evidence of immunity to or immunization against influenza, pertussis and measles.
- d. It must be signed and dated with an original signature of a qualified medical professional. Licensing will not accept a photocopied signature.
- e. If the director or another staff person has worked at another facility with the same licensee, and has a health exam on file, a new exam is not required unless there are obvious health problems.

9. LIC 508 – Criminal Record Statement, California Code of Regulations Sections 101216(i)(1-3)

The Criminal Record Statement, LIC 508, is a confidential form. The employee is to answer "YES" or "NO" to each of the questions, and then fill out the information in the box at the bottom.

- a. Failure to disclose a prior criminal conviction will result in an automatic denial of an exemption request.
- b. Employees should be made aware of the consequences of providing false information.
- c. If "YES" is checked for any of the questions, a detailed description of the incident and its outcome must be given on page two of the form.
- d. Original signature and date are required on both page one and page two of this form.

10. LIC 9052 – Notice of Employee Rights, Health and Safety Code sections 1596.881 and 1596.882, and California Code of Regulations Section 101216(l)

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

The Notice of Employee Rights, LIC 9052, informs employees of their rights to file complaints against their employer for violating any licensing laws or regulations.

- a. The center is to have each employee complete and detach the bottom of this form.
- b. The signed acknowledgement of receipt is what is to be retained in the employee's file.

VI. CRIMINAL RECORD CLEARANCES**A. Criminal Record Clearance Requirements** California Code of Regulations Section 101170

1. Criminal record clearances are based on information obtained through the Department of Justice, including information from state law enforcement, Federal Bureau of Investigation, and Child Abuse Central Index.
2. Fingerprints must be submitted through the Live Scan process, which is electronic fingerprint imaging.
 - a. The Live Scan application can be downloaded from the Community Care Licensing website at:
<http://www.cdss.ca.gov/inforesources/Community-Care/Caregiver-Background-Check/LiveScan>
 - b. Facility staff must be sure to write the child care center's facility number on their individual Live Scan application form. This will ensure that staff is associated with the correct facility in the Licensing Information Systems Database.
3. LIC 9163 – Request for Live Scan Service

The Request for Live Scan Service, LIC 9163 is to request Live Scan for an employee.

- a. The employee will check the "employee" box under Item #2.
- b. For the "DOJ Abbreviated CCLD Facility Type", Item #3, be sure to refer to page 2 of this form for the appropriate abbreviation for child care centers.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- c. Item #6 is where the child care center's facility number is written.
- d. This form should be completed before calling the Live Scan Service for an appointment.

4. Criminal Record Clearance Transfer Process

To transfer a criminal record clearance:

- a. Contact the Regional Office to verify that the clearance is, in fact, active in the Licensing Information System Database. The department shall maintain active clearance information on an individual for two years following the last association with a licensed facility.
- b. Submit the Criminal Background Clearance Transfer Request, LIC 9182, to the prospective facility's Regional Office with the individuals photo I.D., and any other information the Department may require. The transfer request must be submitted prior to initial presence in the facility.
 - i. A Child Abuse Central Index check may need to be updated if the employee was cleared prior to January 1, 1999.
- c. Note that Criminal Record Exemption Transfer Requests must be completed *and approved* by the Caregiver Background Check Bureau prior to initial presence in the facility.

5. Criminal Record Exemptions

- a. Criminal Record Exemptions are processed through the Caregiver Background Check Bureau (CBCB).

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- b. Prior to licensure, if the applicant or any individual for which a criminal record exemption is required has been convicted of a crime other than a minor traffic violation, the application shall be denied unless an exemption is granted by the Department. Subsequent to initial licensure, specified individuals shall obtain a clearance or exemption prior to initial presence in the facility. If an individual with an exemption is subsequently convicted of a crime other than a minor traffic violation the licensee shall either (1) terminate the person's employment and exclude them from the facility or (2) seek exemption from the director. The department shall determine if the individual shall be allowed to remain in the facility while a decision is rendered. If an individual has an arrest-only for certain serious crimes, such as robbery, sexual battery, or child abuse, for which an exemption cannot be granted, a clearance will not be granted until the department completes an investigation of the incident to determine if there is evidence to establish conduct that poses a risk to the health and safety of any person who is or may become a client.
 - i. Misdemeanors, felonies and convictions, even if they occurred a long time ago, require and exemption.
- c. An exemption cannot be granted for individuals convicted of certain serious crimes such as robbery, sexual battery, child abuse, elder or dependent abuse, rape, arson, or kidnapping.
- d. Criminal record exemptions are public information.
 - i. When asked if an employee of a child care center has a criminal record exemption, Licensing and the Licensee are required to divulge that information – this includes inquiries from the press.
 - ii. The nature of the crime does not have to be released, but the name of the individual is disclosed as it is public information.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**6. LIC 9188 – Criminal Record Exemption Transfer Request**

Criminal Record Exemption Transfer Requests, LIC 9188, must be approved by the Caregiver Background Check Bureau prior to initial presence in the facility.

- a. Submit this form with a photo I. D. to the appropriate Regional Office.

7. TLR 3 – Trustline Criminal Background Transfer Request

The Trustline Registry is an independent criminal background clearance registry.

A Trustline registrant may transfer their criminal record clearance to a Child Care facility by notifying the Regional Office assigned to the facility with which he or she wishes to be associated.

- a. The Trustline Criminal Background Transfer process is similar to the Criminal Background Clearance Transfer Request, but the TLR 3 form **must be submitted directly to the Caregiver Background Check Bureau.**

8. Civil Penalties for Criminal Record Clearances

- a. An immediate civil penalty will be charged for:
 - i. Failure to obtain criminal record statement, and submit fingerprints prior to the presence of a hired individual at a facility;
 - ii. Failure to obtain a DOJ clearance or CDSS exemption; or
 - iii. Failure to associate a clearance to your child care center.
- b. The civil penalty for initial violations is \$100 per person, per day for a maximum of 5 days. Subsequent violations within the same twelve month period are assessed at \$100 per violation, per day for a maximum of 30 days.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**VII. CHILDREN’S RECORDS AND PARENT NOTIFICATION REQUIREMENTS****A. Children’s Records** California Code of Regulations Section 101221

1. The Licensee is responsible to ensure that separate, complete and current records are maintained for each child at the center.
2. As with personnel records, the children’s records are to be readily available to Licensing staff when they come to visit.
3. There should be a facility roster of all of the children who attend the center.
 - a. Individual records are to be kept confidential.
4. When a child leaves the center, his or her records are retained at the center for three (3) years following termination of attendance.

B. Required Children’s Records

1. Listed below are all of the forms and records that must be maintained in each child’s file:
 - a. Personal Rights, LIC 613A
 - b. The Consent for Medical Treatment, LIC 627
 - c. The Identification and Emergency Information, LIC 700
 - d. The Child’s Physician’s Report, LIC 701 – if not enrolled in a public or private elementary school
 - e. The Child’s Preadmission Health History, LIC 702
 - f. Parents’ Rights, LIC 995
 - g. The Admission Agreement
 - h. The Needs and Services Plan for infants and special needs children

2. LIC 613A – Personal Rights

The Personal Rights form, LIC613A, is signed on the bottom half by the parents, then that portion is retained in the child’s file, and the top portion is given to the parent.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003**3. LIC 627 – Consent for Medical Treatment**

The Consent for Medical Treatment, LIC 627, allows center staff to seek medical attention and treatment, if needed, for a specific child.

- a. This form is filled out in duplicate or a copy made.
- b. One copy is kept in the child's file, and the other is for the center to keep on hand.
- c. Suggestion: Keep the other copy in a "to go" binder with a roster of children in attendance. This binder can be taken in the event of an outing, such as a field trip or a trip to the park; or in case of an emergency, you can easily grab the binder while vacating the center.

4. LIC 700 – Identification and Emergency Information

The Identification and Emergency Information Form, LIC 700, gives up-to-date information pertaining to an individual child.

- a. A separate form must be filled out for each individual child, including siblings.
- b. This form also provides emergency information, such as who can pick up that child in an emergency.
- c. If a particular person is not listed on this form, they cannot pick up the child for whom this form is filled out.

5. LIC 701 – The Physician's Report

The Physician's Report, LIC 701, must be no older than one year from the child's first day of admission.

- a. Immunizations must be current in accordance with Health and Safety Code Section 120335(b), and the physician is to check the box as to whether there is a Tuberculosis risk.

6. LIC 702 – Child's Preadmission Health History

The Child's Preadmission Health History, LIC 702, is used so that the parents can report the child's health history, such as a child's sleep pattern, their likes and dislikes, allergies and other pertinent information.

- a. This form is required for all programs.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

7. LIC 995 – Parents’ Rights Notification, and the LIC 995E-Background Check Process

The Parents Rights Notification, LIC 995, and the Background Check Process LIC 995E, are forms that you will provide the parents of the children who attend your center. They will sign the bottom of the LIC 995 as acknowledgement that they received both forms, and the bottom portion will be retained in the child’s file.

8. Admission Agreement California Code of Regulations Section 101219

The admission agreement is a legal contract with the parents. It must include the basic services and any optional services that will be provided.

- a. A copy of the Admission Agreement is required for every child’s file, and a copy is provided to the child’s parents.
- b. It is signed and dated within 7 days of enrollment by both the parent or guardian, and a facility representative.
- c. The licensee is expected to comply with the agreement. Any modifications to the agreement require the licensee to provide 30 days written notice to the child’s parent or authorized representative.

9. Parent Notification Requirements California Code of Regulations Section 101218.1

- a. When a child enrolls in a center, the parents are to receive copies of the following:
 - i. Any licensing documents regarding a non-compliance conference that has taken place between the administration of the center and Licensing. A non-compliance conference is documented on a LIC 9111, titled as such.
 - ii. A summary of charges once an accusation is served to revoke the license.
 - iii. All Type A deficiencies.
- b. Parents are to sign and date the form LIC 9224, “Acknowledgement of Receipt of Licensing Reports” or other statement of receipt of the aforementioned items.

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- c. A copy of the LIC 9224 or written statement of receipt is to be retained in the child's file.
- d. Failure to comply with these requirements will result in a citation.

10. Documents to be Posted

- a. Listed below are the documents to be posted in plain view to all who enter your child care center.
 - i. The facility license
 - ii. The Emergency Disaster Plan, LIC 610 (this form is not required to be posted, but highly recommended)
 - iii. The Earthquake Preparedness Checklist, LIC 9148 (This form must be attached to the LIC 610, Emergency Disaster Plan)
 - iv. The Parents' Rights Poster, PUB 393
 - v. Personal Rights, LIC 613A
 - vi. The Child Care Seat Law, PUB 269 – which now requires a child under age 8, or 4 feet, 9 inches tall to be in a child restraint seat in the back seat of a vehicle.
 - vii. The Center Menus
 - viii. The Activity Schedule
 - ix. When visited by Licensing, the Notice of Site Visit, LIC 9213, **AND** any Type A deficiencies, must also be posted for 30 days
 - x. Any Plans of Correction for Type A deficiencies, must also be posted for 30 days.
 - xi. Any granted Waivers should be available for review
 - xii. The Sudden Infant Death Syndrome Poster (this is not required, but highly recommended)
 - xiii. The Shaken Baby Syndrome Poster (also not required to be posted, but highly recommended).

B. What is SIDS?

- 1. SIDS is an acronym for Sudden Infant Death Syndrome. There is no real definitive cause of SIDS. Licensing strives to inform parents and caregivers of what they can do to reduce the risk of SIDS happening.
 - a. Made sure infants sleep on a firm mattress or other firm surface.
 - b. Babies should be kept warm, but not too warm.

3-0003 ORIENTATION PROCESS – CHILD CARE CENTERS (Continued) 3-0003

- c. Infants must have a smoke-free environment.
 - d. If an infant becomes sick, inform the parents and ask them to contact the doctor right away.
- 2. For more information, visit the California SIDS Program website or call them at (800) 369-SIDS.
- 3. Most of all remember, to reduce the risk of SIDS, place infants on their backs to sleep.

C. Shaken Baby Syndrome

- 1. Shaking a baby or infant can cause very serious injury, even death.
- 2. Shaken Baby Syndrome occurs when angry or frustrated adults shake the infant strenuously.
- 3. Injuries such as paralysis, blindness, seizures, dislocations, and retardation have happened.
- 4. Prevent Shaken Baby Syndrome, **NEVER SHAKE A BABY!**

VIII. THINGS TO REMEMBER**A. Applicant/Licensee Rights**

- 1. You as the Applicant, Licensee, or Director, have the following rights:
 - a. To require Licensing field staff to identify themselves when they come to visit.
 - b. To be advised of the type of visit Licensing is making.
 - c. To be treated as a professional with dignity and respect.
 - d. To receive a signed report at the exit interview.

B. Who Can You Call with Questions?

- 1. If a provider has any questions throughout the licensing process, or once their center is open and operating, they can contact their Regional Office, and ask for the assigned analyst or Duty Officer of the Day.

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2. Another good source of information and resources is the local Resource and Referral Agency. Child Care Resource and Referral Agencies (R&R's), serve a very helpful and important role for both parents and child care providers. R&R's can assist providers in submitting your application for licensure, with information on developing and marketing their program, and in connecting providers with families who are looking for child care. R&R's provide free and low cost training, technical assistance and support. There is a child care R&R in every county in the State. Licensing encourages providers to connect with their local R&R to learn more about the services they offer to help support the child care programs.

C. Closing the Orientation

1. Thank the attendees for their participation in the Child Care Center Orientation for Operations and Recordkeeping.
2. Remind them that BOTH certificates of completion for Component I – Applications, and Component II – Operations and Recordkeeping, must be submitted with their application for licensure.

IX. COMPLETE LIST OF HANDOUTS, APPLICATION AND OTHER FORMS, AND RESOURCE DOCUMENTS WITH INTERNET LINKS**CONTACT INFORMATION**

[State Child Care Licensing Regional Offices](#)

[Child Care Advocates](#)

[Child Care Resource and Referral Agencies \(R&Rs\)](#)

[Orientation Schedules](#) (in person)

APPLICATION AND OTHER FORMS

License Application and Instructions for Child Care Centers – [LIC 281A](#)
(This online booklet includes individual links to each form within the booklet.)

Application for Child Care Center License – [LIC 200A](#)

Applicant Information – [LIC 215](#)

Criminal Record Statement – [LIC 508](#)

Designation of Facility Responsibility – [LIC 308](#)

Administrative Organization – [LIC 309](#)

Monthly Operating Statement – [LIC 401](#)

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Balance Sheet – [LIC 403](#)

Financial Information Release and Verification – [LIC 404](#)

Personnel Report – [LIC 500](#)

Personnel Record – [LIC 501](#)

Health Screening Report – Facility Personnel – [LIC 503](#)

Emergency Disaster Plan – [LIC 610](#)

Earthquake Preparedness Checklist – [LIC 9148](#)

Facility Sketch – [LIC 999](#)

Applicant/Licensee Rights – [LIC 9058](#)

Child Care Center – Notification of Parents’ Rights – [LIC 995](#)

Notification of Parents’ Rights Poster – Child Care Centers – [PUB 393L](#)

Personal Rights (for children)--Child Care Center—[LIC 613A](#)

Record To Be Maintained At the Facility – Child Care Centers, Infant Centers, School-age Centers and Child Care Centers for Mildly Ill – [LIC 311A](#)

Caregiver Background Check Process – [LIC 995E](#)

Caregiver Background Check Information – [LIC 995F](#)

Criminal Record Exemption Transfer Request – [LIC 9188](#)

Criminal Background Clearance Transfer Request – [LIC 9182](#)

[Live Scan Application Form](#)

Never Shake a Baby Brochure – [PUB 271](#)

RESOURCES

CHILD CARE LICENSING REGULATIONS:

[Child Care Center Licensing Regulations](#)

[Child Care Center Provider Requirements and Staff Qualifications](#)

[Fact Sheet](#)

Health and Safety Code:

[California Child Day Care Facilities Act](#) (Child Care Centers)

➤ Chapter 3.4, Sections 1596.70 – 1596.895

➤ Chapter 3.5, Sections 1596.90 – 1597.21

MISCELLANEOUS RESOURCES:

[National Center on Shaken Baby Syndrome](#)

[California Sudden Infant Death Syndrome \(SIDS\) Program](#)

[What Child Care Providers and Other Caregivers Should Know \(SIDS\)](#)

[SIDS Program \(multiple resource links\)](#)

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[Federal Guide for New Crib Standards](#)

[Disaster Self-Assessment Guides](#)

[Integrated Pest Management for Child Care Facilities](#)

[The Healthy Schools Act and Child Care Facilities](#)

[Pesticides Prohibited from Use in Schools and Child Care Facilities](#)

[Live Scan Process](#)

[Child Care Updates](#)

[Licensing Fee Information](#)

[California Emergency Medical Services Authority \(EMSA\) – Approved](#)

[Health and Safety Training Courses](#)

[Consumer Services Recalls](#)

[CPSC Public Playground Safety Handbook](#)

[Office of Environmental Health Hazard Assessment \(OEHHA\)](#)

[Safe Kids USA](#)

[California Childcare Health Program](#)

[Child Care Law Center](#)

[California Department of Education](#)

3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES**3-0004****GENERAL STATEMENT**

The Family Child Care Home Licensing process begins with a one component orientation which includes information about the Child Care Licensing Program and the important occupation of a Family Child Care Home Provider.

FAMILY CHILD CARE HOME ORIENTATION

The Family Child Care Home Orientation will provide information regarding what a family child care home is, the requirements for licensees and staff, including all adults in the home, the basic requirements for operating a family child care home, including reporting and notification requirements, physical plant requirements, and other things to know about obtaining a license.

The orientation will also cover the application process, including how to complete the forms.

LICENSING PROGRAM ANALYST PROTOCOL DURING THE ORIENTATION PROCESS

The applicant's first interaction and impression of the licensing agency will be with the Licensing Program Analyst who provides the Orientation session. It is important for the Licensing Program Analyst to represent the Department in a professional and courteous manner. The Licensing Program Analyst should set a positive tone during the meeting and encourage participants to ask questions if they do not understand or need something repeated. A positive atmosphere is conducive to learning and during the session, the Licensing Program Analyst provides the participants with valuable information and instructions.

Throughout the orientation and application process, the role of the Licensing Program Analyst is to assist the applicant and ensure that the applicant understands the entire process.

ORIENTATION OUTLINE AND LIST OF HANDOUTS

THE FOLLOWING OUTLINE AND LIST OF HANDOUTS ARE TO BE USED BY ALL REGIONAL CHILD CARE LICENSING OFFICES. THERE SHOULD BE NO DEVIATION FROM THIS STANDARDIZED FORMAT OR HANDOUTS.

When possible, guest speakers from the local Resource and Referral Agencies will be scheduled to discuss their role and relationship with the licensing agency. The Resource and Referral Agencies will help refer parents to child care facilities, and can provide training and technical assistance regarding what it takes to stay in compliance with child care licensing laws and regulations.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004****Handouts**

Never Shake a Baby Brochure – [PUB 271](#) – This brochure is to be distributed at all child care orientations in compliance with Health and Safety Code Section 1596.847. (The brochure must also be distributed at the time of inspection).

X. OPENING THE SESSION

- A.** Have each attendee sign in on the Orientation Meeting Tally (LIC 186A) prior to starting the session. This attendance sheet is for use by the licensing agency only. Copies of this list are not to be released to outside agencies.
- B.** Introduce yourself, identify the Regional Office, address and telephone number.
- C.** Take care of ‘housekeeping’ items (i.e. timeframe, break time, location of restrooms, etc.).
- D.** Advise the group that the orientation meeting is designed to acquaint them with the laws and regulations governing child care centers that are licensed by the Community Care Licensing Division’s Child Care Program and to provide them with information that will result in a complete application being submitted for licensure.
- E.** Encourage the group to ask general questions pertaining to licensing as they come up, but ask them to refrain from asking case specific questions as those can be addressed with their specific licensing evaluator who will be assigned to them once they submit their applications.
- F.** Advise that a Certificate of Completion (LIC 281C) will be handed out at the end of the session, a copy of which is to accompany the application when it is submitted to the Regional Office.

XI. OVERVIEW

- A. What is a Family Child Care Home?**
 - 1.** A Family Child Care Home is a place that regularly provides care and supervision for 14 or fewer children in the provider’s own home, for periods of less than 24 hours per day.
 - a.** In a Family Child Care Home, the licensee or owner is the primary caregiver.

3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)**3-0004****B. There are two types of Family Child Care Homes.**

1. Small Family Child Care Home – Allows the licensee to care for 6 children plus up to 2 school aged children.
 - a. No more than 3 infants when there are 6 children present,
OR
 - b. No more than 2 infants when more than 6 children present.
 - c. Must be the homeowner or have notified the property owner/landlord in writing on a Form LIC 9151 **“Property Owner/Landlord Notification”**, of the intent to operate a family child care home.
 - d. Must obtain consent from the property owner/landlord on a Form LIC 9149 **“Landlord Consent”**, if any additional school-aged children are present in care.
2. Large Family Child Care Home – Allows the licensee to care for 12 children plus up to 2 school aged children, and no more than 3 infants in more than 12 children are present.
 - a. Must have a qualified assistant, who is at least 14 years of age, present during business hours.
 - b. Must be the homeowner or have notified the property owner/landlord in writing on a Form LIC 9151 **“Property Owner/Landlord Notification”**, of the intent to operate a family child care home, and
 - c. Must obtain consent from the property owner/landlord on a Form LIC 9149 **“Landlord Consent”**, if any additional school-aged children are present in care.

NOTE TO PRESENTER: Hand out and go over the *Family Child Care Home Capacity Limitations Fact Sheet* for other limitations based on the age of the children in care.

- d. Assistants under age 18 cannot be left alone with other children.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

- e. Assistants age 18 and over, who are left alone with the children, must have:
 - i. Fingerprint Clearance
 - ii. Tuberculosis Clearance obtained within the year prior to hire
 - iii. Current Pediatric Cardiovascular Pulmonary Resuscitation (CPR)
 - iv. Current Pediatric First Aid Certificates

C. Age Group Definitions

- 1. It is important to understand the age group definitions used to determine the total number of children allowed in each home.
 - a. An infant is a child who is under age 2.
 - b. School-Age children are those age 6 or enrolled in and attending kindergarten. This includes Transitional Kindergarten.
 - c. Children living in the home who are 10 years of age or older do not count in the licensed capacity.
 - d. All other children must be included in your capacity.

XII. STAFF REQUIREMENTS**A. Background Clearance Requirements and Exemption Policies**

- 1. A criminal record clearance or a granted exemption is required for all adults living in the home before a license is granted.
- 2. Fingerprint clearances are required for all adults residing in the home or prior to working in the home.
- 3. Licensee's children must be fingerprinted when they turn 18 years of age.

3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)**3-0004**

4. Criminal record clearances are obtained through the Department of Justice, Federal Bureau of Investigation, and Child Abuse Index Check. Fingerprints must be submitted through the Live Scan process, which is electronic fingerprint imaging. To schedule an appointment and determine the location for the nearest Live Scan office, call 1-800-315-4507. The Live Scan application can be downloaded from the Community Care Licensing website at <http://www.cdss.ca.gov/inforesources/Community-Care/Caregiver-Background-Check/LiveScan>
5. Fingerprint clearances can be transferred from one licensed facility to another.
6. Fingerprint transfers are done after the licensee contacts their Child Care Licensing Office to verify that a person's clearance is in the Licensing database and is active.
7. The Licensee must submit the **Criminal Record Clearance Transfer Request (LIC 9182)** with a photo I.D. to the Licensing Office, prior to the person's presence in the home.
8. If an individual has been convicted of a crime other than a minor traffic violation, the individual cannot work or be present in the home until a criminal record exemption is obtained from the Caregiver Background Check Bureau.
9. Exemptions can also be transferred. The **Exemption Transfer Request (LIC 9188)** must be submitted to the Caregiver Background Check Bureau. Licensing Program Analysts do not grant clearances or exemptions.
10. Certain crimes such as robbery, sexual battery, child abuse, elder or dependent abuse, rape, arson, or kidnapping are not eligible for an exemption. Any questions having to do with exemptions should be directed to the analyst whose phone number appears on your "Exemption Needed" letter.
11. Once an application is received and determined to be complete, new applicants will be assigned a pending facility number. The pending facility number must be included on the Live Scan application. This ensures that the applicant and all staff are associated to the correct facility in the Licensing Information System database.
12. Civil penalties are charged for failure to meet fingerprinting requirements.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004****B. Criminal Record Exemptions are Public Information**

1. Criminal record exemptions are public information. If an employee of an employee of a family child care home has a criminal record exemption, the Child Care Licensing Program and the licensee are required to divulge the exemption upon request, including ones from the media. But the licensee and the program should only disclose the name of the individual who has received the exemption and not the specific crime or crimes for which the exemption was granted.
2. To learn more about the criminal record clearance or exemption process, visit the webpage at <http://www.cdss.ca.gov/inforesources/Community-Care/Caregiver-Background-Check>, or call the Caregiver Background Check Bureau at 916-653-1923.

C. Additional Requirements for Licensees of Family Child Care Homes

1. The Licensee must be at least 18 years of age.
2. The Licensee must live in the home that he or she is trying to license.
3. The Licensee must have a clearance for Tuberculosis obtained within the last year.
4. The Licensee must also have immunity to or be immunized against influenza, pertussis and measles if providing supervision and care to children in care.
5. Evidence of the Tuberculosis clearance and immunity or immunizations must be submitted with the application.
6. All adults living or working in the home are required to have a Tuberculosis clearance within the last year.
7. All employees or volunteers must have a Tuberculosis clearance obtained within the year preceding the hire date and have immunity to or be immunized against influenza, pertussis and measles.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

8. The Licensee must have proof of completion of 16 hours of Preventive Health and Safety Training before a license can be issued. The training must include Pediatric Cardiopulmonary Resuscitation (CPR), Pediatric First Aid, Preventive Health Practices, and one hour of Pediatric Nutrition. The training must be approved by the Emergency Medical Services Authority (EMSA) or from an accredited college or university.
9. To find out if the course being taken is approved by the Emergency Medical Services Authority, applicants may call (916) 322-4336.
10. If applying for a *Large* Family Child Care Home license, the applicant must submit proof of one year of experience as a Family Child Care Home provider. Experience working at a licensed child care center can count as long as the experience is working at a teacher level or higher.
11. When the Licensee is not present in the Large Family Child Care Home, the adult left alone with children must have current Pediatric CPR and Pediatric First Aid.

XIII. BASIC OPERATING REQUIREMENTS**A. The Licensee Must Live in the Home**

1. The Licensee is the primary caregiver. California Code of Regulations Section 102417(a)
2. The Licensee must be present in the home at least 80% of the operating hours. California Code of Regulations Section 102417(a)
3. Smoking in the home is prohibited. Health and Safety Code Section 1596.795(a)
4. Complete records must be maintained for both children in your care and all employees. California Code of Regulations Sections 102416.1 and 102421
5. The home must have a working telephone. A fully functional cell phone which remains at the home at all times is acceptable. California Code of Regulations Section 102417(c)
6. The home must be clean and in good repair with heating and ventilation. California Code of Regulations Section 102417(b) and (g)

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

7. Off-limit rooms must be made inaccessible to children. The Licensee must contact Community Care Licensing prior to changing off-limits rooms in the house. California Code of Regulations Section 102416.3(a)(6)

B. Basic Requirements

1. Food brought by parents must be labeled with the child's name and properly stored. (i.e. If a child brings their lunch from home, the lunch box/bag and thermos should be labeled with the child's name.) California Code of Regulations Section 102417(f)
2. Outdoor play area must be fenced or directly supervised. California Code of Regulations Section 102417(g)(6)
3. Toys and equipment must be safe, and in good condition. California Code of Regulations Section 102417(d)
4. Licensees are to ensure that the appropriate car seats or passenger restraints are used when transporting children under age 8 or 4 feet 9 inches tall, and those children under age 8 or 4 feet 9 inches tall, ride in the rear seat of the vehicle. California Code of Regulations Section 102417(l)
5. Car seats are not to be used for napping or as chairs. Using car seats in that manner is an inappropriate use of equipment and will result in a citation. California Code of Regulations Section 102423(a)(4)
6. The home must have an isolation area for sick children. It should be an area of the home where children who are not feeling well can be placed while they wait for their parents to pick them up. The Licensee must be able to supervise the sick child and the other children in care. California Code of Regulations Section 102417(a)
7. During night care, you must be available to care for children who are awake. An appropriate sleeping environment should be provided.
8. Licensees should familiarize themselves with the guidelines established by the American Academy of Pediatrics to help reduce the risk of Sudden Infant Death Syndrome (SIDS) if they take care of infants. **NOTE TO PRESENTER: Hand out the SIDS brochure.**

3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)**3-0004**

9. If the applicant provides Incidental Medical Services to children in care, such as administering blood glucose monitoring, inhaled medications, Epi-pen or Epi-pen Jr., and insulin shots or gastrostomy tube feeding and care, or carrying out other medical orders, a **“Plan for Providing Incidental Medical Services”** must be completed. This plan will help to ensure that the service can be provided in the safest manner possible. The plan is submitted with the application for a Family Child Care Home License.
 - a. The plan must describe the facility’s policies and procedures that ensure the proper safeguards for providing Incidental Medical Services are in place. Topic to include, but are not limited to are:
 - i. Types of services to be provided
 - ii. Storage, handling and transport of medication, equipment and supplies
 - iii. Records to be obtained and maintained
 - iv. Training requirements
 - v. Staffing requirements (trained staff must be available when children needing the service are in care)
 - vi. Proper safety precautions that are in place
 - vii. Communication with parents
 - viii. Compliance with reporting requirements.
 - b. The Licensing Program Analyst can be consulted to assist the applicant in fulfilling this requirement.

C. Personal Rights California Code of Regulations Section 102423

1. All children in care have personal rights that must be observed, regardless of parental consent.
 - a. No corporal or unusual punishment, intimidation, humiliation, ridicule, or threats.
 - b. Children cannot be locked in any room.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

- c. No interference or disruption with eating, sleeping or toileting.
- d. Never shake a baby.

NOTE TO PRESENTER: Hand out the *Shaken Baby Syndrome* brochure.

D. Documents to be Posted

- 1. As a condition of maintaining your Family Child Care Home license, you must post several documents in your home. These documents must be posted in an area of the home where they can be easily seen. Those documents include:
 - a. The Facility License
 - b. An Emergency Disaster Plan (LIC 610A) While not required to be posted, it is recommended as a means of making it accessible to the public as required. Health and Safety Code Section 1597.54(b)(2))
 - c. Notification of Parents' Rights Poster (PUB 394) California Code of Regulations Section 102419(b)
 - d. Notice of Site Visit (LIC 9213) - Posted for 30 days inside the main entrance door. Health and Safety Code Section 1596.817(a)
 - e. Earthquake Preparedness Checklist (LIC 9148) (Must be attached to the LIC 610A) Health and Safety Code Section 1596.867
 - f. For Immediate Health or Safety Risk Violations (Type A):
 - i. Post the LIC 809 (Facility Evaluation Report) or LIC 9099 (Complaint Investigation Report) for 30 days inside the main entrance door. Health and Safety Code Section 1596.8595(a)(1)
 - ii. Post proof of correction for 30 days inside the main entrance door. Health and Safety Code Section 1596.8595(b)(1)

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

- g. There is an immediate \$100 Civil Penalty assessed for not posting (Health and Safety Code Section 1596.8595(a)(3):
 - i. Notice of Inspection
 - ii. Citations for an Immediate Risk to Health or Safety Violations
 - iii. Proof of Correction of Type A deficiencies

XIV. REPORTING AND NOTIFICATION REQUIREMENTS**A. Mandated Reporter** California Code of Regulations
Section 102416.2(c)(1)

- 1. Once licensed, the Licensee becomes a Mandated Reporter for suspected child abuse, as do any individuals you employ.
 - a. Licensees and employees must complete and keep on file, the **Statement Acknowledging Requirement to Report Child Abuse (LIC 9108)**. This form must be signed by the Applicant prior to licensure. If there is more than one applicant, then each must fill out a separate form.
 - b. The Licensee and employees must report suspected child abuse incidents promptly to the **Child Abuse Hotline, Law Enforcement, and the Licensing Agency**.
 - c. The person who is required to report, is the person who suspects the abuse.
 - d. The Licensee or assistant should not be the ones to investigate child abuse. They just need to report it.
 - e. Failure to report child abuse is a misdemeanor.
 - f. By calling all three agencies in that order, you will know that the incident has been reported properly and you have complied with the law.

B. Unusual Incident Reporting Requirements

- 1. The Licensee is required to file an Unusual Incident Report when any of the following situations occur:

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

- a. An injury to a child in care, requiring professional medical attention. California Code of Regulations Section 102416.2(b)(1)
 - b. A missing child. California Code of Regulations Section 102416.2(b)(2)
 - c. Death of a child. Health and Safety Code Section 1597.467(b)(1)(A)
 - d. Explosions, fires or other physical damage to the home. They must also subsequently be reported to the local fire authority within 24 hours. California Code of Regulations Section 102416.2(c)(2)
 - e. Medical Epidemics. California Code of Regulations Section 102416.2(c)(3)
 - f. Poisonings. California Code of Regulations Section 102416.2(c)(4)
2. Contact the Child Care Licensing Office within one business day and submit a written report within seven days. California Code of Regulations Section 1597.467(b)(2)

C. Parent Notification Requirements

There are rules as to when a Licensee must notify Community Care Licensing of certain instances, and there are also rules as to when to notify the parent of children in care of certain things.

1. Citation for an Immediate Health or Safety Violation (Type A) – A Licensee must provide copies of the licensing report to parents by the next business day or the next day the child is in care. Health and Safety Code Section 1596.8595(c)(1)
2. Non-Compliance Conference – Parents must be provided with copies of related licensing documents the next business day or the next day children are in care, following a non-compliance conference with the local Child Care Licensing Manager. Health and Safety Code Section 1596.8595(d)(1) and (2)
 - a. A non-compliance conference is a result of home's chronic non-compliance or failure to make timely corrections and is usually a final step before an administrative action.
 - i. Administrative actions can include temporary suspension orders and license revocation.

3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)**3-0004**

3. Notice or Accusation to Revoke a License – Parents must be provided copies of the accusation summary no later than the next business day or the next day children are in care.
4. “Acknowledgement of Receipt of Licensing Reports” (LIC 9224) – Parental signature and date must be obtained on this form or other written statement and kept in the child’s file as a receipt.
5. When enrolling a new child in care, parents must be provided copies of the following or failure to comply with this will result in a citation: California Code of Regulations Section 102419
 - a. Summary of accusations to revoke the license
 - b. Reports of non-compliance meetings
 - c. Type A violation reports received in the prior 12 months
 - d. Notification of Parents Rights, form LIC 995A
 - e. Caregiver Background Check Process, form LIC 995E
 - f. Family Child Care Consumer Awareness Information, form LIC 9212.
 - g. Obtain parental signature and date on the LIC 9224 or other written statement, and the LIC 995A as receipts in the child’s file that the parents have received copies.

XV. PHYSICAL PLANT REQUIREMENTS California Code of Regulations
Section 102417**A. Fire Safety**

1. Fire Safety is an important requirement of having a Family Child Care Home license. The home must have at least one of the following:
 - a. Fire Extinguisher
 - i. Must be a **2A10BC or larger**
 - ii. Accessible in case of emergencies

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(Continued)****3-0004**

- iii. Maintained in compliance with State Fire Marshal standards
 - iv. Licensee, assistants and family should receive training on the proper use of the fire extinguisher
 - b. Smoke Detector – Must work properly
 - c. Carbon Monoxide Detector – must work properly
- 2. Fire and Disaster Drills are required every six months, and must be documented
 - a. Licensee is required to maintain a log of all drills.
 - i. Refer to **Emergency Disaster Plan, Form 610A**
 - ii. Child Care Advocate **Self-Assessment Guide** can provide more information.
- 3. Fire inspections/Clearance is required for Large Family Child Care Homes.
 - a. The Large Family Child Care Home applicant may request a pre-inspection fire clearance for a fee. The **Fire Pre-Inspection/Consultation Request, LIC 9092** is available for this purpose.

B. Pools and Other Bodies of Water

- 1. Pools, spas, ponds, fountains, streams, rivers, lakes, and other bodies of water must be made inaccessible and children shall never be left unattended in these areas.
- 2. Pool Fencing Requirements:
 - a. A pool fence needs to be at least 5 feet in height and be constructed so that it cannot be climbed by children.
 - b. One must be able to see through the fence.
 - c. There can be no openings larger than 4 inches.
 - d. The fence must meet federal, state and local standards.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
(Continued)****3-0004**

- e. There must be a self-latching gate that swings away from the body of water.
- f. The latch for the gate must be no more than 6 inches from the top of the gate.
- 3. Pool or Spa Cover Requirements:
 - a. The pool or spa cover must be locked securely in place when not in use and be able to withstand the weight of an adult. (The applicant is advised that they may be required to stand on the covers to ensure that the covers meet these requirements.)
- 4. Bodies of water that are accessible to children in care is a very serious violation and is subject to an immediate \$150 fine.

C. Hazardous Objects in the Home

- 1. Firearms are allowed in the home. However, they must:
 - a. Be locked – Trigger Locks and/or a gun safe
 - b. Stored separately from ammunition
- 2. Detergents, cleaning compounds, medicines, and other toxic items which could pose a danger if readily available to children, must be stored where they are inaccessible to children.
 - a. Any items that are labeled as “poisons”, “fatal if swallowed”, or have a skull and cross bones shown, must be kept in a locked cabinet that can only be opened with a key or a combination lock.
- 3. Locks – The Department of Social Services defines locks as a key lock or a padlock. The Fire Marshal can offer further explanation as to what requirements they have for locks on exit doors.
- 4. Latches – If children are able to open a latched cabinet, then the items inside are considered “accessible”.

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(Continued)****3-0004**

5. Barricades – A barricade is defined in part to “shut or keep out”.
 - a. Stairs must be barricaded for children under age 5.
 - i. If an upper floor is used for young children, then both the top and bottom of the stairway must be gated.
 - b. Fireplaces and open-faced heaters must be screened or gated to make them inaccessible to children in care.
 - i. Ensure that the gate does not heat up.

D. Items Not Permitted in a Licensed Facility

1. Baby Walkers are banned by Federal regulations.
2. If a baby walker is in the home, it must be kept in an off-limits area during day-care hours.
3. Swings are allowed, but children should not be left in them for long periods of time.
4. Car seats and high chairs are also allowed, but can only be used for their expressed purpose. (i.e. Car seats can only be used for transit, and high chairs used only for feeding.) If these items are used for any other purpose, it will result in a citation.

XVI. GENERAL INFORMATION**A. Limitations of the License**

1. Capacity – is the maximum number of children at any time for whom care can be provided. California Code of Regulations Section 102416.5(a)
2. The License is issued to a specific licensee at a specific location only.
3. Licenses are not transferable.

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4. Any changes to the home must be made in consultation with Community Care Licensing, including persons living in the home. California Code of Regulations Section 102416.3(a)(1)-(6)
 - a. Any structural changes, remodels, and additions must also be reported to Community Care Licensing prior to making them.

B. Inspection Authority (Health and Safety Code Sections 1596.852, 1597.55(a) and (b))

1. The Department of Social Services has authority to:
 - a. Conduct unannounced inspections
 - b. Inspect facilities that provide care and supervision
 - c. Interview children
 - i. Licensing Program Analysts can interview children at the home without parent consent.
 - ii. Allow interviews to take place in a private setting.
 - d. Interview staff
 - i. Licensing Program Analysts can also interview staff and should be able to do so in a private setting as well.
 - e. Review records

C. Inspection Process

1. Once licensed, the home must be in substantial compliance with the California Code of Regulations, Title 22 and the Health and Safety Code.
2. Deficiencies are cited when a home is non-compliant with Title 22 regulations and the Health and Safety Code.
 - a. The Licensing Program Analyst and the Licensee will create a plan of correction to bring the facility back into compliance.
3. Civil Penalties or a fine may be assessed for violating certain regulations.

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Section 102395

1. The most common civil penalty issued for a Family Child Care Home is for having an adult present in the home that does not have a Criminal Record Clearance.
 - a. A \$100 per person, per day for up to 5 days for the first time.
 - b. For the second violation in a 12 month period, the civil penalty is \$100 per person, per day, up to 30 days or \$3,000.
2. Not meeting the **Parent Notification Requirements** is also a \$100 immediate civil penalty.
 - a. Not posting documents required by Child Care Licensing Regulations and the Health and Safety Code.
 - i. Notice of an Inspection.
 - ii. Licensing Reports which document an immediate risk to health or safety violation **(Type A)**.
 - b. Not having signed proof of receipt of required documents in the child's file.
3. The following violations have been determined by the Legislature to be very serious and warrant a civil penalty of **\$500** immediately and **\$100** per day until corrected.
 - a. **Absence of supervision** including the following:
 - i. A child left unattended
 - ii. A child supervised only by a person under 18 years of age, OR
 - iii. A child wandering away due to lack of supervision.

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- b. Other serious violations include:
 - i. Accessible bodies of water
 - ii. Refused entry of authorized licensing staff
 - iii. Presence of an excluded person (an individual that has been ordered off the premises)
 - iv. Violations that result in injury or sickness

(The violations above also have a repeat assessment of \$1,000 immediate civil penalty per repeat violation and \$100 per day until corrected if the repeat occurs within 12 months of the previously cited violation.)

- v. Violations that result in serious injury, physical abuse, or death are assessed an immediate civil penalty based on the chart below:

Facility Type	Capacity	Civil Penalty For Death	Civil Penalty For Serious Injury/Physical Abuse
Small FCCH	All Sizes	\$5,000	\$1,000
Large FCCH	All Sizes	\$7,500	\$2,000

**E. Unlicensed Family Child Care California Code of Regulations
Section 102393**

- 1. Operating without a license is:
 - a. A misdemeanor
 - b. Subject to a **\$200 per day civil penalty**
 - c. May also be punishable by a fine or imprisonment

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2. Licensing is required to conduct an investigation within 10 days of receiving a complaint of a Family Child Care Home operating without a license.
 - a. A \$200 civil penalty is assessed until a completed application is received by Licensing, or operation has ceased.

F. Common Challenges

1. Many of the common challenges encountered by applicants are:
 - a. Landlord/Tenant Issues –A landlord or Home Owners' Association cannot prevent you from operating a licensed Family Child Care Home.
 - i. A landlord cannot legally bar you from operating a Family Child Care Home, but they may restrict you from caring for two additional school-aged children, if they do not sign the consent form.
 - b. Impact on Neighborhood AND
 - c. Zoning Requirements – Some cities may only allow a certain number of Large Family Child Care Homes on a given block.
 - i. Before investing in modifications to get licensed, check with the city. There may be requirements other than those Licensing has, such as an open drive way during pick up and drop off, which may be required in order to obtain a business license or zoning permit.

G. Things to Remember

1. A license is not granted automatically. All requirements must be met before a license is granted.

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2. Determine whether there is a need for child care in the area.
 - a. Contact the local resource and referral agency to provide information and assistance in developing a child care program.
 - i. The local resource and referral agency is the child care provider's primary avenue for receiving child care referrals as well as free services.
 - ii. Licensing cannot provide the resource and referral agencies with a provider's contact information prior to licensure, unless the provider agrees to allow Licensing to share the information.
3. Advertising cannot begin until the provider is licensed.
 - a. Include the facility license number on all advertisements.
4. Just like a driver's license, a Family Child Care Home license is not a right, but a privilege.
 - a. Once licensed, it is the provider's responsibility to know and maintain compliance with the regulations.

XVII. APPLICATION PROCESS**A. Licensing Process for Small Family Child Care Homes**

1. Complete the Orientation.
2. Submit a completed application with the correct, required fee.
3. Wait for the welcome letter with the assigned facility number.
 - a. The facility number must be provided when the applicant is fingerprinted, so the prints can be associated to the facility.
4. Submit fingerprints through Live Scan or transfer existing clearances for all adults living or working in the home.
5. Schedule a pre-licensing visit.
 - i. The home must meet Title 22 and Health and Safety Code requirements.

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6. A license is granted only after all requirements are met.
7. The entire application process will take approximately 60-90 days if all required clearances are received timely and other items are in order.
8. The application can be obtained through other resources, such as the local resource and referral agency.
 - i. Some resource and referral agencies assist the applicant with the “start-up” of their Family Child Care Home.

B. Licensing Process for a Large Family Child Care Home

1. In addition to the Small Family Child Care Home requirements:
 - a. Each applicant must show proof of one year experience as ...
 - i. A Family Child Care Home licensee, OR
 - ii. A teacher or higher of a licensed child care center.
 - b. The home must receive a fire clearance
 - c. Compliance must be maintained with other jurisdictions
 - i. Local Planning and Zoning – to obtain a business license and/or other requirements
 - ii. Department of Industrial Relations – for labor standards regarding worker’s compensation

C. Application

1. Submit check or money order payable to the Department of Social Services with the application.
2. Application fees are non-refundable.

XVIII. APPLICATION FORMS**A. Forms Required for an Acceptable Application**

1. LIC 279 – Application for a Family Child Care Home License
2. LIC 508 – Criminal Record Statements (for each adult living in the home)

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3. LIC 999A – Facility Sketch (Interior and Exterior)
4. LIC 610A – Emergency Disaster Plan

B. LIC 279 – Application for Family Child Care Home License

1. Section 1 – Check the appropriate box. For most, this will be the box which reads, “*New Application*”.
2. Section 2 – Only those persons whose name or names will be on the license and will be responsible for the actual care of children will be listed. All persons listed must live in the home.
5. Sections 3 through 5 – The applicant’s complete address, other counties in which the applicant has resided, and directions to the applicant’s home from the licensing office should be filled in.
6. Section 6 – Any information pertaining to any Community Care License the applicant has held before will be filled in here.
7. Section 7 – All persons living in the home will be listed, including family members, boarders, clients, or other relatives. Persons under age 18 should not be included. If there is not enough space, a separate piece of paper can be attached.
8. Section 8 – Refers to LIC 279B. Children who reside in the home should be listed on this form, which is a confidential document.
9. Section 9 – The applicant designates whether they are applying for a large or a small family child care home, and the ages of the children they would like to care for. The Licensing Program Analyst will look to make sure that the home is appropriately equipped for the age group that is designated here.
10. Section 10 – The responsibilities as a Family Child Care Home Licensee are listed here.
11. Section 11 – The applicant is to sign the application here under penalty of perjury that the responsibilities and terms listed in Section 10 are understood, and agreed to.

C. LIC 279B – Current Children in Your Home

1. This form is where all persons under the age of 18, who live in the home are listed. In order to track when the child turns 18, the birthdate of each child must be included, to identify when a Criminal Record Clearance is required. This form is confidential.

**3-0004 ORIENTATION PROCESS – FAMILY CHILD CARE HOMES
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1. The Criminal Record Statement, LIC 508, is a confidential form. Each adult, 18 years or older who is living or working in the home, is to answer “YES” or “NO” to each of the questions, and then fill out the information in the box at the bottom.
 - a. Failure to disclose a prior criminal conviction will result in an automatic denial of an exemption request.
 - b. This form is also confidential. Failure to disclose an arrest or conviction will result in an automatic denial of an exemption and ultimately the application.
 - c. If “YES” is checked for any of the questions, a detailed description of the incident and its outcome must be given on page two of the form.
 - d. Original signature and date are required on both page one and page two of this form.

E. LIC 610A – Emergency Disaster Plan for Family Child Care Homes

1. This form is intended to be a resource for the provider in the case of an emergency.
 - a. Each box is to be completely filled out.
 - b. All emergency phone numbers must be listed in Section 2. The applicants can obtain the emergency phone numbers in the Government pages in their local phone book or from the internet. If the number 911 is written in any of the boxes, the entire application can be returned.
 - c. Evacuation routes should be shown on a form LIC 999A, and posted alongside this form.
 - d. Typically, it is advised that the Emergency Disaster Plan be posted near the telephone.

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- e. The name and address of any temporary relocation sites should be listed under Section 4. It is recommended that the provider list one relocation site that is close to the home, and one that is farther away. A public place like a library or fire station may already have multiple facilities using it as a relocation site, so it is important to make sure the place that is chosen can accommodate.
- f. Be sure that the utility shut off companies and phone numbers, equipment location and other emergency equipment is indicated in Sections 5 – 7.

F. LIC 999A – Facility Sketch

- 1. A sketch of the facility must be submitted using this form.
- 2. A simple box diagram is all that is required. Each room should be labeled with the rooms that will be used for day care, identified. The LPA will use this sketch to tour the home during the pre-licensing visit. Blueprints of the home will not be accepted.
- 3. The following items must be identified on the sketch:
 - a. Areas to be used by the children
 - b. Off limit areas
 - c. Fire Extinguisher
 - d. Emergency Escape Route
 - e. Electrical Shut Off
- 4. A sketch of the yard is also required on page two. All structures, fences, walls, bodies of water, ditches, and any other prominent features must be included. If there is no backyard or patio, this page must still be included in the application packet, with “no yard” written on it.

G. Additional Items Required at the Time of Application

- 1. The correct application fee.
- 2. Tuberculosis clearance within the last year for each adult living in the home.

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3. Either **Proof of Enrollment** or **Certificates of Completion** for 16 hours of **Pediatric Health and Safety Training** for each applicant including one hour on childhood nutrition.
4. For a **Large** Family Child Care Home license, proof of 1 year experience as a Family Child Care Home licensee or working as a teacher in a child care center, must be submitted for the applicant.
5. A signed Certificate of Completion for the Family Child Care Home Orientation.
6. **LIC 9217 Pre-Licensing Readiness Guide** – This guide is provided to help the applicant get ready for the pre-licensing visit. The form should be used to “check-off” the items required in order to be licensed. This form should be completed and sent with the application to the regional licensing office to indicate that the applicant is ready for the Licensing Program Analyst to perform the pre-licensing inspection.

XIX. THINGS TO REMEMBER**A. Completed Forms**

1. Make sure the forms submitted have original signatures.
2. Forms submitted with corrections or white out, will not be accepted.
3. Keep copies of all completed forms including the orientation certificate.

B. Who to Call with Questions?

1. If a provider has any questions throughout the licensing process, or once their home is licensed and operating, they can contact their Regional Office, and ask for the assigned analyst or Duty Officer of the Day.

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2. Another good source of information and resources is the local Resource and Referral Agency. Child Care Resource and Referral Agencies (R&R's), serve a very helpful and important role for both parents and child care providers. R&R's can assist providers in submitting the application for licensure, with information on developing and marketing their programs, and in connecting providers with families who are looking for child care. R&R's provide free and low cost training, technical assistance, and support. There is a child care R&R in every county in the State. Licensing encourages providers to connect with their local R&R to learn more about the services they offer to help support the child care programs.

C. Closing the Orientation

1. Thank the attendees for their participation in the Family Child Care Home Orientation.
2. Remind the attendees that the certificate of completion must be submitted with their application for licensure.

XX. COMPLETE LIST OF HANDOUTS, APPLICATION AND OTHER FORMS, AND RESOURCE DOCUMENTS WITH INTERNET LINKS**CONTACTS**

[State Child Care Licensing Regional Offices](#)

[County Licensing Offices](#)

[Child Care Advocates](#)

[Child Care Resource and Referral Agencies \(R&Rs\)](#)

APPLICATION AND OTHER FORMS

License Application and Instructions for Family Child Care Homes –

LIC 279A [English](#) [Spanish](#)

(This online booklet includes individual links to each form within the booklet.)

Forms/Records to Keep in Your Family Child Care Home –

LIC 311D [English](#) [Spanish](#)

Caregiver Background Check Process –

LIC 995E [English](#) [Spanish](#)

Caregiver Background Check Information –

LIC 995F [English](#) [Spanish](#)

Criminal Record Exemption Transfer Request –

LIC 9188 [English](#) [Spanish](#)

Criminal Background Clearance Transfer Request –

LIC 9182 [English](#) [Spanish](#)

Applicant/Licensee Rights –

LIC 9058 [English](#) [Spanish](#)

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- [Family Child Care Homes Licensing laws](#)
 - Chapter 3.4, Sections 1596.70 – 1596.895
 - Chapter 3.6, Sections 1597.30 – 1597.65

SIDS, SHAKEN BABY, AND PEST MANAGEMENT RESOURCES

- [California Sudden Infant Death Syndrome \(SIDS\) Program](#)
 - What Child Care Providers and Other Caregivers Should Know
[English](#) [Spanish](#)
 - [\(Multiple resource links\)](#)
(Publications on this website are available in both English and Spanish)
- [National Center on Shaken Baby Syndrome](#)
 - Never Shake a Baby Brochure
[English](#) [Spanish](#)
- [Integrated Pest Management for Child Care Facilities](#)
 - The Healthy Schools Act and Child Care Facilities
[English](#) [Spanish](#)
 - [Pesticides Prohibited from Use in Schools and Child Care Facilities](#)

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